

INVESTIGATION AND GRIEVANCE PROCESS

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REVISION TABLE

Revision	Date	Comments
1	19/05/2017	First Issue
2	17/05/2020	Expanded section on competencies of Investigating Officer

1. INVESTIGATIONS AND GRIEVANCES STATEMENT

Robert Walpole and Partners (RWP) is committed to undertaking any investigations fairly and objectively. For this reason a standardised process for handling grievances and investigations has been developed to ensure a satisfactory outcome is reached whenever possible. This process can be applied to any case where an investigation is required, although some simplified processes are specified within individual policies.

Any investigations must be suitably objective and independent as reasonably practicable to ensure that any potential system and management failures are considered. They should also follow recognized industry standards and relevant procedures to arrive at the most impartial outcome.

Progress in implementing this process will be reviewed annually by the partners.

Signed: M. J. Walpole

M. J. Walpole
Partner

Date: 17.05.20

2. STARTING THE PROCESS

A company Partner should be approached in a first instance. The company will then nominate an Investigating Officer, either internally or externally, who will complete the investigation and report findings to the relevant parties.

Investigating Officer should:

- have sufficient knowledge or experience in an area of the business that the investigation relates to.
- where possible, be a member of a professional body in accordance with their specific discipline.
- have at least 5 years' experience in a management role.

Note that the reason for completing an investigation is referred to as a 'Concern' in this document, even though such a reason may not be inherently negative in nature.

3. INVESTIGATION PROCESS

The Investigating Officer should follow these steps:

- Full details and clarifications should be obtained from the individual or group raising the Concern.
- If the investigation involves a complaint against one or more members of staff the Investigating Officer should inform those staff as soon as is practically possible. The members of staff will be informed of their right to be accompanied by a trade union or other representative at any future interview or hearing held under the provision of these procedures. If deemed appropriate the Investigating Officer should consider the involvement of the Police at this stage.
- The Concern should be fully investigated by the Investigating Officer with the assistance, where appropriate, of other individuals / bodies. All information should be made freely available to the Investigating Officer, including confidential data as long as the Partners are notified and it is relevant to the Concern.
- A judgement of the Concern will be made by the Investigating Officer. This judgement will be detailed in a written report containing the findings of the investigations, reasons for the judgement and suggested actions to be undertaken as a result. Where confidential data has been considered it may be referred to within the report but not detailed, in line with the Data Protection Act. The report will be made freely available upon request and for auditing purposes if required.

- The company Partners will decide what action to take using the investigation report as guidance. If required they will invoke any disciplinary or other appropriate Company procedures.

The individual or group raising the Concern should be kept informed of the progress of the investigations and, if appropriate, of the final outcome.

4. OTHER POLICIES

This process encourages individuals to put their name to any Concerns they raise, and will be protected from reprisals for doing so. Both of these issues are covered in full detail within the Whistleblowing Policy.