**<INSERT ORGANISATION NAME> INVESTIGATION CHECKLIST**

| **INVESTIGATION CHECKLIST** |
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| You need to follow a consistent process when carrying out an investigation, otherwise a staff member could complain that their investigation was not fair or was discriminatory if it is carried out differently to others. To prevent this, follow the 5 steps below so that your investigations are equitable and fair for all. |
| **Steps** | **Actions to Take** | **Yes** | **No** |
| Step 1 – Decide whether an investigation is necessary. | * Do you need to carry out a formal investigation, or is it possible to resolve the issue in a different way?
* Do you have a policy in place that requires you to carry out an investigation in different circumstances?
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| Step 2 – Make a plan of how your investigation will run. | * If an investigation is necessary, have you got a clear plan that includes the following steps?
1. Be clear about what you need to investigate.
2. Decide who will investigate the matter. This will need to be someone more senior than the person you are investigating, and experienced enough to lead the investigation. N.B. If you think you might need to discipline a person, you will need a different senior person to manage the appeal.
3. Make a plan or checklist to outline your objectives and to identify the evidence you will need to review e.g. policies and procedures, staff training records, care plans and other care records such as MAR sheets, and accident and incident reports.
4. Decide on a time-frame for completion of each part of the investigation.
5. Arrange any meetings with staff and others, giving people enough notice to attend.
6. Prepare open-ended interview questions that are salient to the investigation e.g. those that start with how, what, why, when, where and who, ‘tell me’ and ‘explain’.
7. Develop checklists to ensure you capture the information you require.
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| Step 3 – Gather the evidence you need through record reviews, interviews and other methods. | * Have you gathered the evidence?

Ensure you use a number of sources, if possible, to help you confirm the issues.* Have current laws and guidance been reviewed to ensure your practice expectations matches these and that you have carried out staff training to disseminate this?
* Has someone made clear and concise notes of interviews held and ensured these are legible, factual, accurate and available as part of the evidence?
* When interviewing people, do you listen carefully to what the person is saying, and ensure

that you explore and clarify any confusions? |  |  |
| Step 4 – Write a report outlining the evidence, your conclusion, and make recommendations for improvement. | * Have you reviewed all the evidence gathered to see if you can identify any emerging themes?
* Have you written a report of your findings and made recommendations of how to prevent the issue from occurring again?

Your report will have an introduction, an explanation about how you carried out theinvestigation, what you looked at, your findings, a conclusion and any recommendations.* Are there any staffing issues you need to address, such as disciplinary meetings, amendments to policies, procedures and working practices or additional staff training?
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| Step 5 – Implement the recommendations to prevent the incident from occurring again. | * Have you circulated the report to ensure everyone is aware of the content?
* Have you developed action plans to help implement any recommendations and make improvements?
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