

## Investigation Steps and Indicative Timescale

This process has been grouped into four sections: planning, investigation, report writing and next steps.

Within NHS Lanarkshire, the aim is that the full process will be concluded within 13 weeks <sup>(1)</sup>.

	Suspending Manager	Commissioning Manager	HR Manager	Investigating Manager	HR Rep	Staff Member	Witnesses	Designated Contact Person
PLANNING STAGE	Discuss suspension with senior manager and HR before carrying this out	Early Resolution Meeting/Meeting to advise of investigation (as appropriate)	Provide guidance and support to suspending manager/ Commissioning Manager	Confirm availability and appropriate skillset to carry out investigation	Confirm availability to support process	Receive letter from Commissioning Manager confirming investigation will be carried out	Statement requested by Commissioning Manager	Once identified by the commissioning manager, make contact within one day with the staff member.
	Carry out suspension in line with NHSS Policy	Outcome letter within 7 calendar days, including detail of allegation(s).	Support Commissioning Manager in drafting any correspondence including agreeing the wording for the allegation	Receive TOR and all information gathered to date from Commissioning Manager	Arrange and carry out planning meeting with Investigating Manager	Actively participate in the investigatory process		Confirm to Commissioning Manager that contact has been made, noting any particular concerns or supports required.
	Complete suspension checklist	Where staff member is suspended, identify contact person. Decide if contact person required in other situations, or others involved or if contact, support and updates will be provided by Commissioning Manager	Triage case referral and allocate HR Rep to support	Arrange and carry out planning meeting with HR Rep	Arrange and carry out planning meeting with Investigating Manager	Provide statement when requested		Maintain fortnightly contact with staff member until process concluded, recording date & key points of discussion.
	Issue suspension letter – liaise with Commissioning Manager (if not self) around contact person	Request statement from Staff Member and any witnesses	Receive planned timescale for completion from HR Advisor	Arrange and carry out initial contact meeting with staff member	Confirm planned timescale for completion with HR Manager	Receive invite to initial contact meeting		Arrange more frequent contact if deemed necessary.
	If not manager (e.g. duty manager), hand case over to appropriate manager within line	Identify Investigating Manager		Confirm planned timescale with Commissioning Manager				Provide feedback to Commissioning

	management structure	Complete case referral form, including TOR  Pass on all statements received to the Investigating Manager		Issue all investigatory meeting letters <sup>(2)</sup>				Manager no less than once every 4 weeks
INVESTIGATION		Follow up on investigation progress with Investigating Manager.  Liaise with HR Manager if any concerns.  Ensure Staff Member of timescale for completion  Ensure Staff Member notified of progress with investigation and are aware of any changes to planned timescales	Follow up on investigation progress with HR Rep.  Liaise with Investigating Manager/ Commissioning Manager if any concerns	Agree investigation questions  Carry out witness meetings Ensure notes of meeting are issued within one week <sup>(3)</sup>  Carry out Staff Member meeting Ensure notes of meeting are issued within one week <sup>(3)</sup>  Review meeting with HR rep to confirm all information has been gathered  Arrange additional meetings/gather additional	Review investigation questions for Investigating Manager  Carry out witness meetings. If providing admin support, provide typed notes within 2 working days, or alternative agreed revised timescale. Ensure notes of meeting are issued within one week <sup>(3)</sup>  Carry out Staff Member meeting. If providing admin support, provide typed notes within 2	Actively participate in the investigatory process  Receive invite to investigatory meeting  Review meeting notes when issued and return within agreed timescale.	Receive invite to witness meeting  Actively participate in witness meeting  Review meeting notes when issued and return within agreed timescale.	Maintain fortnightly contact with staff member until process concluded, recording date & key points of discussion.  Arrange more frequent contact if deemed necessary.  Provide feedback to Commissioning Manager no less than once every 4 weeks

				<p>evidence as required</p> <p>Provide update to Commissioning Manager at least once every four weeks.</p> <p>Notify Staff Member of progress and timescale for completion (if delegated by Commissioning Manager)</p> <p>Begin to prepare investigation report</p>	<p>working days, or alternative agreed revised timescale. Ensure notes of meeting are issued within one week<sup>(3)</sup></p> <p>Review meeting with Investigating Manager to confirm all information gathered</p> <p>Participate in additional meetings as required</p> <p>Provide update to HR Manager on progress at least once every four weeks</p> <p>Provide support to the Investigating Manager if they require this when beginning to prepare the investigation report</p>			
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REPORT WRITING		<p>Follow up on investigation progress from Investigating Manager. Liaise with HR Manager if any concerns</p> <p>Receive complete report</p>	<p>Follow up on investigation report from HR Rep. Liaise with Investigating Manager/ Commissioning Manager if any concerns</p>	<p>Work on investigation report<sup>(4)</sup></p> <p>Provide update to Commissioning Manager with date they will receive report</p> <p>Complete investigation report and return to Commissioning Manager</p>	<p>Work on investigation report<sup>(4)</sup></p> <p>Provide update to HR Manager with date investigation report will be complete</p> <p>Support Investigating Manager to complete investigation report and return to Commissioning Manager</p>	Return notes		<p>Maintain fortnightly contact with staff member until process concluded, recording date &amp; key points of discussion. Arrange more frequent contact if deemed necessary. Provide feedback to Commissioning Manager no less than once every 4 weeks</p>
NEXT STEPS		<p>Arrange meeting with Staff Member<sup>(5)</sup></p> <p>Where the case will progress to a formal hearing, arrange a suitable date.</p> <p>Follow up outcome in writing &amp; confirm next steps<sup>(2)</sup></p> <p>Chair formal hearing, or arrange alternative manager.</p>	<p>Either an HRM or HRBP will support the chair in any formal hearing</p>	<p>If case is presenting to a formal hearing, present at this.</p> <p>Agree and notify any witnesses to be called</p>	<p>If case will progress to a formal hearing, support the Commissioning Manager arranging a suitable panel.</p> <p>Ensures Panel Chair issues appropriate invite.</p> <p>Agree any witnesses to be called</p>	<p>Attend meeting with Commissioning Manager to receive outcome, which will be followed up in writing</p> <p>If proceeding to a conduct hearing &amp; submitting a case, do so 7 days in advance to the chair.</p>	Attend and participate in any formal hearings if requested to do so	<p>Maintain fortnightly contact with staff member until process concluded, recording date &amp; key points of discussion. Arrange more frequent contact if deemed necessary. Provide feedback to Commissioning Manager no less than once every 4 weeks</p>

		Notify staff member of outcome <sup>(2)</sup>			Support Investigating Manager in presenting at formal hearing.			
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#### Footnotes:

- <sup>(1)</sup> It is recognised that all investigations are unique and the investigation stage in particular may take some time to conclude, particularly with investigations involving multiple allegations, where additional witnesses are identified, or where the staff member/witnesses need to be re-interviewed. Investigation timescales should be agreed and regular contact and update should be provided to all parties throughout this process.
- <sup>(2)</sup> The NHSS Workforce Policies Investigation Process provides timescales in relation to arranging meetings and providing outcomes. 7 calendar days' notice should be given to witness meetings and 14 calendar days' notice should be given to meetings with the Staff Member. This can be reduced by mutual agreement. Outcome letters should be provided within 7 calendar days of meetings.
- <sup>(3)</sup> No timescale is set with the NHSS Workforce Policies Investigation Process, however, NHSL's expectation is that notes will be issued within one working week. Where this cannot be adhered to, a revised timescale should be agreed and staff notified when they will receive their notes. If this will extend timescales, the Commissioning Manager and Staff Member must be informed of the revised timescales and the reasons for this.
- <sup>(4)</sup> The timescales for report writing are set within the NHSS Workforce Policies Investigation Process. This is 21 days from completion of the investigation to providing the Commissioning Manager with the report. The investigation is complete after the last meeting with the staff member/witness or final information gathered. Where the timescale cannot be adhered to, the Commissioning Manager and Staff Member must be informed of the revised timescales and the reasons for this.
- <sup>(5)</sup> No timescale is set with the NHSS Workforce Policies Investigation Process, however, as it is known when the report will be received, this meeting can be planned in advance and therefore should take place as soon as practical after the investigation report is received.