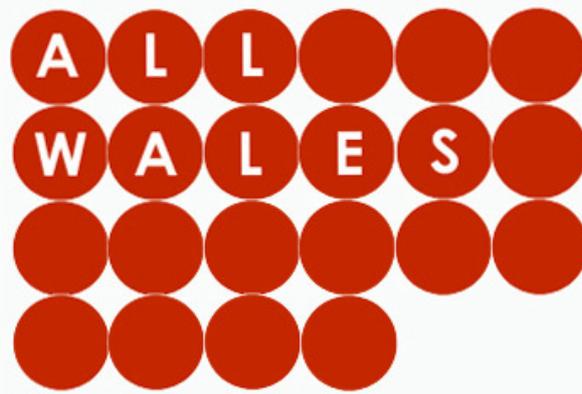


# Managing Non-Criminal Investigations



**A guide for investigating allegations of abuse**

## Contents Page

	<b>Page No</b>
Introduction	03
The key points of managing a non-criminal investigation	03
Planning the investigation	04
Prompts for planning the investigation	05
Planning the interviews	07
Interviewing the vulnerable adult	08
Interviewing the alleged perpetrator	09
Undertaking the interviews	09
Examining the evidence	10
Concluding the investigation	10
Appendices	12
Appendix 1: Letter requesting attendance at interview	
Appendix 2: General questions for consideration	
Appendix 3: Interview reminder sheet	
Appendix 4: Checklist: Evaluating evidence	
Appendix 5: POVA investigation report format	
Appendix 6: Record of Interview Template.	

## 1. INTRODUCTION

This document has been developed to provide help and guidance for staff that are asked to complete a non-criminal investigation as part of, and to inform, the decision making processes of the interagency protection of vulnerable adults procedure.

The Investigating agency(ies) will have been identified through the inter agency strategy discussion and/or meeting process together with the scope and remit of the investigation.

The responsibility for creating the strategy for the single agency investigation and for the selection of a suitably experienced /qualified member of staff to complete the investigation will remain with the investigating agency. This guidance does not replace the disciplinary procedures of any partner agencies, but should be read in conjunction with and may inform such proceedings.

Although the task of completing the investigation and report may be delegated to a suitably qualified and experienced member of staff within the agency, it is important that the report and recommendations are fully endorsed by the agency before submission to the Chair of the POVA Strategy Meeting.

The guidance aims to complement the interagency policy ensuring a consistent response across agencies involved in the process and sets a standard for the content and the quality of any investigations undertaken, along with any reports produced as a result of such investigations

The guidance has been devised to be of help to those individuals asked to carry out a protection of vulnerable adult investigation as a result of a strategy discussion or meeting.' This could be staff in statutory organisations such as care coordinators (social workers or nurses) or Care and Social Services Inspectorate for Wales (CSSIW) Inspectors. Best practice would suggest that staff working in the Independent and Voluntary sector organisations, such as direct service providers or care agencies do not undertake non-criminal investigations. However, it is recognised that resource implications mean that this is not immediately possible for all areas. Where providers do undertake investigations, it is urged that this should not be the manager of service area under investigation.

## 2. KEY POINTS OF MANAGING NON-CRIMINAL INVESTIGATIONS

- 2.1 As the person who has been asked to undertake the investigation please read through this document before you begin planning.
- 2.2 If you require any further clarification about this document or the tasks you have been asked to complete ensure you speak again with the Designated Lead Manager (DLM) who is coordinating this protection of vulnerable adult process.

- 2.3 It is important to conduct the investigation with honesty and integrity as you look to establish the facts through an impartial and objective approach. All parties relevant to the investigation must be considered equally in order to prevent judgments being made at the outset.
- 2.4 In using the Non-criminal Investigation Guidance, it is important that as the investigating officer you are aware that individuals participating in the investigation process do so, on a voluntary basis unless they are a direct employee. In the case of allegations against staff members, consideration must be given to involving the relevant Human Resources department.
- 2.5 Be mindful of confidentiality during the investigation; do not give out specific information that is pertinent to the case.
- 2.6 Should a criminal matter come to light during the investigation, you **must** contact the police or the DLM who chaired the meeting immediately. If a regulatory matter comes to light it should be referred to CSSIW. The investigation should be suspended until the police and/or CSSIW provide clarity on how to proceed.
- 2.7 You need to be mindful that if this were the case, the evidence obtained as part of the investigation, as well as the report, may be shared with relevant partner agencies to investigate an alleged or suspected criminal offence.

### 3. PLANNING THE INVESTIGATION

- 3.1 When it has been identified that an investigation under the Protection of Vulnerable Adult procedures is required the following points will need to be clarified during a strategy discussion or meeting before the investigation can begin:
  - Identify which agencies or individuals are to be involved in the process
  - Identify which individuals need to be interviewed
  - The allegation/s to be investigated
  - The timescale for the investigation to be completed and a report provided
  - The mental capacity of the vulnerable adult/s with regard to their participation in the investigation
  - Any organisational employment policies that may need to be taken into account
  - Any communication issues taking account of diversity and special needs of all individuals to be interviewed.

- 3.2 As the investigating officer, you will need to plan the investigation thoroughly. Where a joint investigation is to be undertaken, for example an investigation between the CSSIW and a provider agency, both parties will need to be clear on their roles and responsibilities throughout the investigative process.
- 3.3 **The investigating officer will need to gather all available background information prior to commencing interviews in order to maximise the interview opportunity.**

### Prompts for planning the investigation

- 3.4 The following points are provided as prompts for issues you may need to consider whilst planning your investigation.  
***NB This list is neither exhaustive nor compulsory***

#### **Service User**

- Current health, underlying physical/mental/medical condition
- Conditions or behaviours, which challenge the service user or others
- Medication or substance misuse
- Service user involvement in care planning review and delivery
- Service user's agreement to care plan
- Service user privacy dignity and choice
- Individualised care choices documented and delivered or care structured around the service or others
- Level of supervision and support, isolation or contact with others
- Level of capacity and consent
- Service user perspective
- Presenting behaviour/relationship with alleged perpetrator
- Family or representative perspective

#### **Care Documentation and Delivery**

- Body Map
- Service user records, case notes/daily statements
- Records of: accidents, incidents, medication, health/medical advice/appointments sought/required/received, daily care statements, weight records, dietetic assessment/ involvement/ review, food/fluid input/output records, risk assessment/management/review of pressure area/s
- Recent accidents, hospital admissions
- Service user assessment - e.g. were all needs identified and were care plan goals developed to manage/meet need?
- Care plan documentation level of detail to indicate how to manage identified needs
- Frequency of care review
- Risk assessments – e.g. moving and handling or other equipment, behavioural management, independent living skills.
- Appropriate aids/adaptations identified, available and used
- Moving and handling issues
- Care delivery system, key workers
- Change in service user disposition

- Relationship issues - service users/family/friends/direct staff/other staff and professionals
- Paid Carers or Family member
- Any recent contractual or regulatory issues or notifications (CSSIW reg. 38 or reg. 26)
- Level of staff support induction and ongoing training, supervision & appraisal of staff - with documented evidence
- Policies guidance and systems available to guide staff
- Recruitment practices - 2 written references verified, CRB/ISA checks, ISA registration, registration with relevant professional bodies
- Working culture re dignity/respect/addressing service users
- Case history and any recent changes in service provider or package
- Carer assessment offered/completed
- Identified relationship difficulties
- Acceptance of assistance

3.5 Where an investigation into an allegation of financial abuse has been requested the investigating officer will need to establish whether any formal or legal arrangements are in place for managing the service user's finances eg appointee, agent, attorney or deputy. Where service users are known, or have been previously known, to the Local Authority the LA finance team or other appropriate department may already have this information and be able to provide copies of the relevant documents, including where appropriate, registration documents.

3.6 The following points are provided for the investigating officer to consider when investigating financial abuse:

- Does the service user have the mental capacity to manage their finances specific to the situation/circumstances?

(Please refer to the Mental Capacity Act 2005 and Codes of Practice for further guidance).

- Is Power of Attorney in operation? If yes, in whose name and from what date?
- Is Enduring Power of Attorney in operation? If yes, in whose name and from what date?
- Has it been registered, i.e. the person's incapacity acknowledged?
- Is a lasting Power of Attorney in operation – if yes, in whose name and from what date? Has the Lasting Power of Attorney been registered?"
- Is there a solicitor involved? If yes, give contact details
- What assets does the individual have?
- Is there a will? If yes, where is this kept?
- Who assists/ manages the finances?
- Who has access to bank/savings accounts/assets etc? is there a third party mandate in place?"
- If living in a domestic setting is the income absorbed into general household expenditure?

- If living in a service setting does the setting operate individual or 'pooled' accounts?

How much disposable income/personal monies do they have each week? Is this enough and are there any difficulties in accessing this? "Have there been any changes in spending patterns?

- Is there outstanding debt?
- What are the arrangements for paying the costs of the care needs, e.g. service used/nursing/transport/domiciliary/day care/leisure/health?
- Is anyone else paying towards these?
- Is the adult supported (this includes financial support) by the local social services?
- Does another social services department support the adult (this includes financial support )?
- If yes, who
- Do they receive ILF or Direct Payments for their care needs and who manages the receipt of monies payments?
- Consider any financial management policy used or finance records/documentation used by the organisation. In service settings staff will be maintaining cash transaction records and sometimes payment records so it would be helpful for the investigating officer to see these.

#### 4. **PLANNING THE INTERVIEWS**

- 4.1 The investigating officer will need to plan the structure of the investigation and identify the purpose of each interview, meeting with any co-investigators to organise the various stages of the investigation.
- 4.2 Identify who needs to be interviewed as victims, witnesses or as alleged perpetrators and agree who would make the necessary arrangements.
- 4.3 Identify the documentation to be examined and questioned as part of the interview.
- 4.4 Plan the schedule of interviews; dates, times and most appropriate place to conduct the interview and ensure any individual supporting the alleged victim or witnesses are informed. Wherever possible or where time permits, this should be confirmed in writing as good practice. Consider the needs of the interviewee i.e. communication aids or interpretation.
- 4.5 When arranging the interview try and find a venue that will allow the interviewee (complainant, alleged victim, witness or alleged perpetrator), to speak freely and without pressure. Avoid using the scene of the incident if at all possible
- 4.6 Ensure that the interviewees are aware that a person who is a friend or representative, not acting in a professional capacity and not involved in the

investigation, can support them through the interview, ensuring that confidentiality is maintained.

- 4.7 Consider the method of recording the interviews, e.g. written, audio, or video. Be mindful of any retention and storage requirements under the Data Protection Act 1998.
- 4.8 Consider the availability and appropriateness of use of the video facilities within your local Public Protection Unit.
- 4.9 Clarify whether the Vulnerable Adult would like to be supported during the interview and if so, by whom.
- 4.10 Consider the use of advocacy services to provide support to the vulnerable adult if appropriate.
- 4.11 If a person agrees to be interviewed and asks for legal representation or any other support when attending an interview, the investigating officer should take advice from their DLM or legal department before proceeding.
- 4.12 Devise specific questions to be asked of each person to be interviewed. Consider the number of questions to be asked ensuring a few questions are designed to open the interview and put the person being interviewed at ease. Next develop some questions around the specific incident or concern and include a few questions to clarify any points and close the interview.

*(Suggestions of questions can be viewed in appendix 2)*

- 4.13 Remember to avoid asking leading questions so as to prevent encouraging an interviewee to agree or give particular information. Wherever possible ask open ended questions to ensure the interviewee gives their own information.

## **5. INTERVIEWING THE VULNERABLE ADULT**

- 5.1 The investigating officer may need to interview a vulnerable adult who may be the alleged victim, the alleged perpetrator or a witness.
- 5.2 If it has been agreed during the strategy discussion or at the strategy meeting that a vulnerable adult is to be interviewed, ensure that any information about their capacity and communication needs have been considered, and the availability of appropriate support to be provided.
- 5.3 It is important to build rapport with the vulnerable adult to reduce anxiety, allay fears and give confidence to the person being interviewed.
- 5.4 If you have limited information available regarding the vulnerable adult, their capacity or abilities begin with general questions to ensure the interview is conducted at the right level. Try and establish the individual's understanding of time, for example in terms of times of the day of the interview or days of the

week that particular events occur in their lives. Try to get another view of the vulnerable adult's level of understanding, before focussing questions on the allegation or concerns.

- 5.5 Explain that you may need to take notes, or audio/video the interview. The transcripts of the interview can be made available upon request.
- 5.6 Ensure that the vulnerable adult understands that they can have a break at any time and check throughout the duration of the interview that they are alright to continue.
- 5.7 Ensure that you give the vulnerable adult the opportunity to ask you any questions about the process before or after the interview to reduce any concerns they may have as far as possible.

## **6. INTERVIEWING THE ALLEGED PERPETRATOR**

- 6.1 The alleged perpetrator is usually interviewed after the other interviews have taken place. This interview will need to be planned separately and questions devised to support or refute information gathered during the course of the investigation. It is appropriate to begin with a question specifically about the allegation, incident or concern. "I am investigating an allegation / complaint / concern that has been made about you..." (describe the specific nature of the allegation / complaint / concern).
- 6.2 The alleged perpetrator should then be asked his/her opinion "What would you like to say about this?" This gives the alleged perpetrator the opportunity to respond to the allegation/s.
- 6.3 Open questions may encourage the alleged perpetrator to discuss the situation and describe what happened.
- 6.4 Following discussion regarding the specific incident you may wish to ask more general questions to identify the context within which the allegation / complaint / concern relates.
- 6.5 You may wish to view the suggestions in appendix 2 to assist with the selection of appropriate questions for this interview.

## **7. UNDERTAKING THE INTERVIEWS**

- 7.1 the interviews play an important part in enabling the investigating officer to gather new information, clarify information already provided and establish fact to enable a decision to be reached regarding the validity of the allegations. Thorough planning will assist in maximising this opportunity.
- 7.2 Introduce yourself and explain your role and why you are there e.g. I am conducting an investigation into allegations / concerns that have been made

under the Protection of Vulnerable Adult procedures and I need to talk to you as part of this process.

- 7.3 Explain that each person interviewed will be asked a set of planned questions and some further questions may be asked to elicit further information. In some circumstances further interviews may be required should new information be disclosed. This information may require further exploration or clarification.
- 7.4 Advise the person being interviewed that the information they give will be used to draw together a report on the concerns/allegations.
- 7.5 Clarify that there is an expectation that the interviewee will respect confidentiality and not discuss this matter outside of the formal interview process.
- 7.6 Tell the person being interviewed that the interview is confidential, however it may be necessary and appropriate to share any information given with other partner agencies to ensure that any risk of harm to a vulnerable person can be managed. Any decision to further share the information will be the subject of an inter-agency strategy meeting and will be proportionate and in compliance with legislation and guidance, for example to the police if a criminal matter was suspected. Where possible they will be consulted before such a decision is taken and informed of the outcome.
- 7.7 Explain that a record of the interview will be made through a written record or an audio tape to ensure accuracy. Advise that the individual is able to have a copy of the statement taken of their individual interview if they request it.
- 7.8 An interview reminder sheet is available at appendix 3 to assist you.

## **8. EXAMINING THE EVIDENCE**

- 8.1 It is important that any supporting documentation is considered e.g. care records, financial accounts, entries in the service diary, staff duty rotas, records of injury or visits to or by health professionals, EPOA confirming financial arrangements.
- 8.2 Record which documents you examined and the date you saw them noting the relevant information gained and whether it assists to support or dispute the allegations (**see appendix 4**). Note any further information that needs to be clarified as a result of viewing the document.

## **9. CONCLUDING THE INVESTIGATION**

- 9.1 On completion of the interviews and document review the evidence you have gathered must be evaluated.

9.2 In a criminal investigation the evidence needs to be '**beyond all reasonable doubt**'. However, when undertaking non criminal investigations the allegation is proved if the evidence is based upon the '**balance of probability**' (i.e. **more likely than not to have occurred on, cogent evidence.**)

9.3 An investigator will often be faced with inconsistent evidence. An investigator must be able to weight all the evidence and explain why they have preferred one set of evidence over the inconsistent evidence in reaching their conclusion.

Evidence gathered will fall into one of the following categories:

- **Direct evidence** is what a person has experienced themselves.
- **Hearsay evidence** - is evidence of what a person has heard from another person. Apart from special circumstances hearsay evidence is usually excluded from criminal cases but can be presented in other places such as civil courts or disciplinary hearings
- **Corroborated** evidence is evidence that is supported or substantiated by another person or in some other way such as examination of records or by way of any contemporaneous recording
- **Circumstantial evidence** - is evidence not based on the facts in question but on various attendant circumstances, which may support the case from which the Investigating Officer might infer the occurrence of the fact in question such as evidence of bruising immediately following a shift worked by a particular member of staff.

*(An evaluation tool is also provided at appendix 4 to assist you)*

9.4 A Protection of Vulnerable Adults investigation report will need to be provided. The report must be given to the DLM who has chaired the Protection of Vulnerable Adults process. The report will be used to inform the decision-making at the strategy meeting and may be used with other information gathered to coordinate an Adult protection case conference.

*(An investigation report format is provided at appendix 5)*

**APPENDIX 1**

**Letter requesting attendance at interview**

Dear

I am writing to confirm our telephone conversation of .....  
when I indicated that you are *required/requested* to attend an interview on  
.....at.....

I confirm that the reason for the interview is that you may have relevant information to  
an *incident/allegation* at..... on  
.....

I confirm that I will be conducting the interview with a colleague who will take a record  
of the meeting and that after the meeting, these minutes can be made available to  
you upon request.

You are entitled, if you so wish, to be accompanied by a person of your choice.

I would be grateful if you would inform me (at least 24hrs in advance) if you will be  
accompanied and the nature of their relationship to you.

Yours sincerely

## APPENDIX 2

### Planning the interview

**THE FOLLOWING QUESTIONS HAVE BEEN INCLUDED TO PROVIDE SUGGESTIONS OF THE ISSUES YOU MAY WISH TO EXPLORE AS PART OF YOUR INTERVIEW. CONSIDERING A RANGE OF ISSUES WILL ASSIST YOU PLAN THE INTERVIEW QUESTIONS FOR STAFF. IT SHOULD BE NOTED THAT THIS LIST IS NOT EXHAUSTIVE.**

#### Service setting – general questions

- Have you received any training about the Protection of Vulnerable Adults?
- How long you have worked here?
- How long have you known (alleged victim/witness/perpetrator) and in what context
- How long have you cared for (alleged victim)
- Where else have you worked?
- Have you had any previous experience working with this service user group?
- What are your main responsibilities?
- What level of contact do you have with service users?
- Tell us what you do during a typical shift/duty/domiciliary visit?
- How many hours are you contracted for and how many hours do you work in a week?
- Do you have a temporary or permanent contract?
- Do you work for an agency?
- Do you work for any other organisation
- What is it that you like about working here?
- What are the things that you don't like or you sometimes find hard?
- How do you get on with the service users?
- How do you get on with your work colleagues
- Is there a keyworker system in operation here? Can you tell us what this entails? Are you a keyworker for any service user? Who?
- How does the staff team work together?
- Do you have any concerns about any other staff members, both current and past?
- Do you have any concerns about any other issues?
- Who would you report any concerns to?
- Have you ever had any reason to express any concerns to anyone? If so, can you tell us about it - what happened/outcome
- We want to find out some more information about one particular service user, tell me a bit about him/her and his/her care needs?
- How well do you relate to her/him?

- Are you are aware of a recent issue surrounding the service user when allegations were made against another staff member. Can you tell me what you know? How did you become aware of this?
- How would you normally describe their relationship?
- How does s/he usually relate to the other residents?
- How does s/he work as part of the team?
- Were you on duty on the occasions the allegation refers to? Did you witness it directly?
- Are you aware of the service users care needs/management guidelines/manual handling needs etc?
- How do you become aware of these needs?
- Would everyone on duty be aware of this?
- Does everyone follow the care plan/guidelines?
- What involvement do members of staff have in risk assessments etc?
- Do you have specific policy guidance to support service users accessing community facilities
- How are the arrangements agreed regarding the time that service users get up in the mornings and go to bed at night or meal times – who eats alongside or serves the food during meal times?
- Have you any concerns about the management style of the service?
- Have you raised concerns on a previous occasion?

### Night shifts

- Have you noticed staff sleeping or preparing to go to sleep while on a wakeful night?
- What are the duties that you are expected to carry out during the night shift?
- Is there a 'sleep-in' staff member?
- What hours are they actively in work for?
- What is the policy about calling them if they are needed?

### Finances

- What is the policy for handling service user's finances?
- Do staff comply with the policy
- Have there been any instances when staff have borrowed and then replaced the money?
- How does the home organise such things as food shopping and service user holidays - how are they organised/paid for?
- What do you do if the finances can't be reconciled?
- How is the service user supported in spending their personal money
- Tell me how service users are supported in having choices?

### Medication

- Does the service have a medication policy or guidance document?
- Were you aware that (name of *service user*) brought (name of *medication*) into the home with them?  
If yes:
  - Do you know how many tablets/what medication was in the cupboard?

If no:

- Did you see (*name of medication*) in the Controlled Drug Cupboard?

If yes

- Did you ever administer any (*name of medication*) to (*name of service user*)?

If Yes:

- Can you tell me where you recorded this?

- Did you administer (*name of medication*) to any other service user during the period (*relevant dates*)?

- If Yes:

- Can you tell me where you recorded this?

- How often do you normally check the Controlled Drug (C D) stock and who else is involved in checking it?

- Were you involved in checking the CD stock between the period *relevant dates*?

If Yes:

- Can you tell me how many (*name of medication*) were in the cupboard at the time?

- Where do you keep the medication keys when you are on duty?

- Who else normally has access to the medication keys when you are on duty?

- Can you think of an occasion when you handed over the keys to any one else when you were on duty?

- Do you sign medication keys over?

- What training has been provided in managing and administering medication?

- Do you have any concerns about any of the medication systems or procedures in the service?

## Moving and handling

- Does the service have a moving and handling policy or guidance document?

- Have you read the moving and handling policy?

- Explain the moving and handling needs of the service user?

- How are you aware of the service users needs

- What training or refresher education have you received in moving and handling?

- Explain how you would move and handle (*name of service user*)

- What equipment would you use?

- What equipment should be used for (*name of service user*)?

- Describe what happened on (*date of incident*)?

- Is the moving and handling equipment always available?

## INTERVIEW REMINDER SHEET

- Date, time, and place of interview.
- Introduce the people interviewing and their roles in this process
  - seek clarification of who is present
  - acknowledge if the interviewee has support present
  - welcome both/all and explain the issues of confidentiality
- Clarify role of support, explaining that they are not there to answer on the behalf of the interviewee
- Be sensitive to the needs of the interviewee
- Explain the reason why you are here:
- The *purpose* of the interview is to establish the facts about what happened and give you the opportunity to give your explanation or perspective.
- The *reason* why we are here today is because we are investigating an allegation of.....under the protection of vulnerable adult procedures which occurred on.....at.....
- The interview is confidential and your anonymity will be maintained as far as is possible unless it is necessary to share it with relevant agencies to investigate an alleged or suspected criminal offence or to protect a vulnerable person from harm
- If general issues need addressing which you highlight then you will not be identified as raising the issues
- If specific issues are highlighted you may be identified and/or asked to provide information for a disciplinary hearing or referral to a professional body, POVA list or Independent Safeguarding Authority (ISA)
- Please maintain confidentiality and do not speak of the interview to anyone else
- There will be a list of questions which we want to ask you and that either the same or similar questions will be asked of others.
- If you are not sure of the question and would like it to be asked again, please ask
- If you don't have or don't know an answer then it is important that you say that you do not know

- If you need more time to answer a question please ask; there's no need to hurry.

To ensure accuracy we will be recording your answers, either by writing responses or audio-taping. You will be entitled to receive a copy of the transcript of the interview on request.

If you want a break\* at any time then we will stop the interview just ask. We will check periodically with you to see if you are all right to continue.

If you wish you can go back to a previous question to add more information.

Provide your contact details and thank the interviewee for attending.

\* **Refreshments/breaks** – you need to ensure that adequate refreshment breaks are given depending on length of interview

**Note**

**Balance of probability – more likely than not to have occurred on, cogent evidence.**

**CHECKLIST: EVALUATING EVIDENCE**

Type of evidence	Supports allegation	Meaning uncertain	Raises doubt about the allegation	Does not support allegation	Not applicable	Comment
Interview with victim						
Interviews with others, identify who e.g. staff						
Interviews with family/friends						
Interview with alleged perpetrator						
Documentation- eg, files, notes, logs, (inclusion financial) etc.						
Risk assessments						

## **PROTECTION OF VULNERABLE ADULT (POVA) INVESTIGATION REPORT FORMAT**

### **1. Introductions and Background**

- Personal details of vulnerable adult, e.g. name, address, etc.
- Vulnerable Adults capacity
- Vulnerable Adult views and wishes in relation to pursuing the referral and investigation
- Outline each allegation/concern (including service and/or setting as appropriate)
- Date VA1 completed.
- Information about alleged perpetrator (if applicable)
- Details about the investigating officers i.e. name, status, organisation and how they were appointed
- Date investigation requested and date completed

### **2. Methodology**

- Overview of the process e.g.
  - Identify who was interviewed (include dates)
  - Identify meetings held, (include dates)
  - Documentation examined, (include dates) e.g. service user files, care plans, incident reports etc. If relevant comment on why some documentation has not been examined or included.
  - Any other considerations
  - Rationale for decision making (explanation of why individuals were selected to be interviewed and reasons for excluding people).

### **3. Findings/outcomes of the allegations**

- If more than one allegation was investigated, ensure that the outcome of each allegation is considered separately.
- Detail all relevant evidence obtained as a result of the investigation.
- Detail how the evidence has been weighed to reach any conclusion or recommendation. Include the evaluation of evidence form if it was used to assist you in final decision.
- Identify whether the allegation(s) are upheld or not.
- Consider any other issues, which may have emerged as a result of the investigation, e.g. training or development for staff, policy, systems issues or further investigation required within the organisation.

**4. Recommendations and Conclusion**

- Identification of recommendations resulting from the investigation.

**5. Appendices (if applicable)**

- A copy of the VA1 and VA1a body map.
- The set Interview questions used.
- Statements.
- Evaluation of evidence.
- Any other relevant documentation.

**Report to be signed and dated by the investigating officer(s), then submitted to the DLM, within agreed timescales, who has co-ordinated this investigation.**

# RECORD OF INTERVIEW

<b>Interviewer:</b>	
<b>Admin Support:</b>	
<b>Interviewee:</b>	
<b>Other persons present:</b>	
<b>Date:</b>	
<b>Time:</b>	
<b>Venue:</b>	
<b>Vulnerable Adult:</b>	

- Advised the person being interviewed that the information given will be used to draw together a report on the concerns / allegations.
- Clarified that there is an expectation that the interviewee will respect confidentiality and not discuss the matter outside of the formal interview process
- Explained that a written record will be taken to ensure accuracy and that they are able to have a copy of the notes made during their own interview should they request it.
- Advised that if the interviewee wants a break at any point, this just needs to be requested.

**Question 1 –**  
**Response:**

**Question 2 –**  
**Response:**

**I \*\*\*\*\* CONFIRM THAT THE ABOVE ARE A TRUE AND ACCURATE  
RECORD OF THE INVESTIGATORY INTERVIEW CARRIED OUT AT  
\*\*\*\*\* ON \*\*\*\*\***

**NAME:** .....  
**SIGNED:** .....  
**DATE:** .....