February 2017

Clear Up Team – Investigations Process/Procedures

The following will apply to all Clear Up Project investigations.

Confidentiality

- All steps of the investigation process will be treated as confidential, including all meeting notes and information collected

Scope

- The scope of the investigation will be limited to the scope of the original allegation received and the investigation approach agreed with the Clear Up Board
- If, during the course of an investigation, matters outside of the scope of the investigation are raised, these should be notified to the Clear Up Board for consideration via the Project Manager
- All investigations will proceed on the assumption that the matter being investigated will not lead to a criminal case; if at any time a criminal matter is uncovered this will be notified to the Clear Up Board immediately via the Project Manager
- If, during the course of an investigation, the investigator believes that it has become necessary to amend the investigation approach (for example, conducting an additional interview or requesting additional documentary evidence) then this amendment will be approved in advance by the Project Manager and one other investigator. The investigation approach undertaken will be clearly set out in the Investigation Report.
- The number of days agreed by the Clear Up Board for each investigation will not be exceeded without further approval from the Board

Fact-Finding Meetings and Interviews

- Clear Up investigations will include two types of meetings-
- The majority will be **fact-finding meetings**, where the investigator meets with an individual e.g. a Council Officer to obtain information relating to an allegation under investigation
- Where a meeting is required with an individual who may be responsible for some form of misconduct then an **interview** will be held.
    - For interviews, the purpose of the meeting will be communicated to the individual in advance, informing them that they are attending on a voluntary basis, that a written summary of the interview will be produced, that they are free to leave the discussion at any time, and that they may bring along a colleague or TU representative if they choose
    - Two members of the Clear Up Team will be present for interviews, the investigator and a note taker. A written summary of the interview will be produced and shared with the individual for accuracy. The investigator and individual will be required to sign and date the written summary

Written Records

- An appropriate record of fieldwork undertaken will be maintained by the investigator to track activity related to the investigation, including contact made with individuals, interviews conducted and documentation reviewed – including the source of the documentation

- Documentation will be stored by the investigator and issued to the Project Manager at the end of the investigation and once the Clear Up Project's records management arrangements are agreed

Investigation Report format

- Investigation reports will be clear and concise and will be completed using the agreed template (guideline 4-12 pages in length)
- Investigation reports will be password protected before being circulated electronically, including in draft format
- The identity of the whistle-blower will not be disclosed within the investigation report
- The investigation report template will include the following:
    - Executive Summary section that sets out the allegation, the key findings and conclusion of the investigation and the recommendation to the Clear Up Board on future action (to take forward disciplinary action against an individual, to strengthen controls, to conduct further investigation etc.)
    - Background to the allegation and detailed findings of the investigation in the main body of the report, including a summary of the timing of events concerning the allegation
    - Confirmation of documentation reviewed and meetings and interviews conducted