



Investigation Guide for Managers

Unique Identifier:	CORP/GUID/201				
Version Number:	5				
Type of Update / Status:	Ratified with Moderate Changes				
Divisional and Department:	Human Resources Directorate, Workforce				
Author / Originator and Job Title:	Eleanor Palmer-Rigby, Human Resources (HR) Business Partner				
Replaces:	CORP/GUID/201, Version 4.1, Investigation Guide for Managers				
Description of amendments:	Changes introducing Just Culture Fact finding process introduced (4 W's) Flow Chart introduced HR replaced with Workforce Advisory Service				
Approved by:	Joint Negotiating Consultative Committee (JNCC)				
Approved Date:	03/07/2020				
Issue Date:	03/07/2020				
Review Date from Date of Approval:	1 Year <input type="checkbox"/>	2 Years <input type="checkbox"/>	3 Years <input checked="" type="checkbox"/> 03/07/2023	4 Years <input type="checkbox"/>	5 Years <input type="checkbox"/>

Version Control Sheet

This must be completed and form part of the document appendices each time the document is updated and approved

Date dd/mm/yy	Version	Author	Reason for changes
20/07/20	5	Eleanor Palmer-Rigby, Human Resources (HR) Business Partner	Changes introducing Just Culture Fact finding process introduced (4 W's) Flow Chart introduced HR replaced with Workforce Advisory Service

Consultation / Acknowledgements with Stakeholders

Name	Designation	Date Response Received

CONTENTS

Version Control Sheet.....	1
Consultation / Acknowledgements with Stakeholders.....	1
1 Introduction / Purpose	3
2 General Principles / Target Audience	3
3 Definitions and Abbreviations	3
4 Guideline	4
4.1 The Investigating Manager.....	5
4.2 Terms of Reference for a Formal Investigation	5
4.3 Interviews	6
4.3.1 Interview process	6
4.4 Note Taking.....	7
4.5 Additional Evidence.....	7
4.6 Evaluation of Data and Conclusion of the Investigation	8
4.7 Management Statement of Case (MSOC)	8
5 References and Associated Documents.....	9
Appendix 1: Workforce Advisory Service: Employee Relations Just Culture Fact Finding Process Guidance	10
Appendix 2: Flowchart	13
Appendix 3: Terms of Reference Example Template	14
Appendix 4: Management Statement of Case Template	15
Appendix 5: Equality Impact Assessment Form.....	16

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		

1 Introduction / Purpose

The Trust works in accordance with the principles of Just Culture to ensure that staff adhere to the Trust's standards, policies and/or procedures and are treated in a fair and equitable manner.

Just Culture encourages accountability and responsibility. Where staff have made a mistake, error or a misjudgement, truthfulness and admission is fundamental.

This guideline is intended to provide guidance, to investigating managers where they are required to undertake an investigation. This guidance provides a summary of best practice which can be applied to any employee-related investigation. It should be used in conjunction with advice from your Human Resources Representative. It may be necessary to seek legal, audit and other specialist advice at the outset of particular types of investigations. It will be important to establish the type of investigation and which policy it relates to in order to ensure that appropriate procedures are followed.

This guideline provides general advice to anyone appointed to investigate:

- a) disciplinary allegations;
- b) grievances;
- c) allegations of bullying and harassment;
- d) allegations raised under whistleblowing;
- e) allegations of fraud.

The guideline must be read in conjunction with the appropriate policy and/or procedures which will clarify any specific procedural requirements. Those requirements will include timescales for the investigation. This guideline does not amend, alter or negate any of the agreed employment policies and procedures in any way. The application of the relevant employment policies and procedures will be supplemented by skills training.

2 General Principles / Target Audience

This Guideline will apply to all staff employed by Blackpool Teaching Hospitals NHS Foundation Trust. In cases involving medical staff this guideline must be read in conjunction with the Handling Concerns Procedure for Medical and Dental Staff (BTHFT - Procedure, 2015).

3 Definitions and Abbreviations

CCTV	Closed Circuit Television
HR	Human Resources
IUC	Interview Under Caution
JNCC	Joint Negotiating Consultative Committee
LCFS	Local Counter Fraud Specialist
MSOC	Management Statement of Case

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		

OD Organisaional Development
 TOR Terms of Reference
 Trade Union Representative
 A representative of a recognised negotiating body of the Trust.
 WAS Workforce Advisory Service – the team responsible for managing Employee Relations cases on behalf of the Trust

4 Guideline

Before commencing a formal investigation process, Managers must gather facts from those immediately involved using the guidance in Appendix 1. Early intervention should look at what happened, for example, who was hurt or harmed, why did this happen and what is the immediate way ahead to ensure there is no repeat.

Fact finding is not part of the formal process and should start with a conversation with the individuals involved. Statements should be obtained, including from witnesses if appropriate, Managers should try and understand any mitigation or contributor to what has happened, what steps could be taken immediately and whether any activities need to be restricted whilst this information is gathered and reviewed.

Once all of this information has been gathered the Line Manager should attach copies of the documents that have been obtained as part of their fact finding and meet with an appropriate level of Senior Management to decide whether or not the case should proceed to a formal investigation.

The appropriateness of a formal investigation and the appointment of the most suitable Investigating Manager will be discussed with an appropriate level of Senior Management (see flowchart at Appendix 2)

The purpose of the investigation is threefold:

- To determine whether or not there is a case to answer
- To be thorough, fair and objective, respecting the rights of all the involved parties
- To collect relevant evidence and to establish facts, to be used in preparation for action in the event that formal procedures need to take place.

If there is any possibility of fraud, bribery or corruption the Local Counter Fraud Specialist (LCFS) should be consulted and, if appropriate, the Director of Finance will authorise subsequent involvement from the LCFS. Those investigations will be conducted in accordance with the NHS Counter Fraud and Corruption Manual and the Trust’s Fraud, Bribery and Corruption Policy (BTHFT - Procedure, 2020).

In the case of criminal investigation the Head of Strategic HR will liaise with the Local Counter Fraud Specialist (LCFS) to decide whether it is appropriate to delay the Trust investigation. Cases involving the LCFS will be investigated in parallel with any internal investigation. The criminal case will usually take priority in cases where a formal Interview Under Caution (IUC) is required. Once the formal IUC has taken place the internal investigation can continue. Both investigations will then be concluded in accordance with appropriate polices and working practices.

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		

4.1 The Investigating Manager

When appointing an Investigating Manager it is of paramount importance that time and resources are available to complete a thorough, appropriate, professional and timely investigation. Responsibility for this rests with the Investigation Manager and the Senior Manager who appointed them. The Investigating Manager and the WAS team will make the Senior Manager aware of any concerns in this regard.

The suitability of an investigation manager will be based on the following:

- The independence of the investigator/s;
- Credibility of the investigator/s;
- Specialist knowledge required;
- Sensitivity of the situation;
- Time available to undertake the investigation;
- The necessary skills, training and experience of investigator/s
- The possibility of witness interviews/statements.

4.2 Terms of Reference for a Formal Investigation

It is important that there are clear terms of reference for the formal investigation. A template is available in Appendix 3 and includes an obligation on the Investigating Manager to sign to confirm that they have the time available to complete the investigation.

In the case of disciplinary investigations the Terms of Reference should be prepared and should be shared with the alleged perpetrator prior to the investigation meeting.

In the case of non-disciplinary investigations it may not be possible to define terms of reference until after the initial meeting with the complainant. In those cases the terms of reference should be clarified in the meeting and sent to the complainant no later than 7 calendar days of the meeting.

Terms of reference should include:

- Details of the allegations to be investigated
- The proposed timescales for the investigation
- Under which policy the investigation is being conducted
- The purpose of the report
- Who will receive copies of the final report

As part of any investigation process, the individual concerned must be informed in writing that an investigation has been instigated. In cases of criminal investigation, consideration

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		

must be given to the timing of informing the individual concerned, thereby safeguarding the collating of potential information/evidence. Any delay must be fully justified.

Where interviews result in the widening of an investigation or where timescales need to be increased the Terms of Reference must be revised and the employee provided with a copy.

It is important to understand the Trust obligations in regard to Whistleblowing and this must be discussed with a Workforce Advisory Service Representative prior to the commencement of any investigation (BTHFT - Procedure, 2020).

The investigating manager will interview relevant staff and collect relevant information and collate this into a written report. In cases which result in a Disciplinary Hearing this will form the basis of the Management Statement of Case (MSOC). A template is available in Appendix 4.

4.3 Interviews

For the interview process to be successful, it must be seen to be consistent, fair and objective. The investigating manager will approach the investigation with an open mind. This can be achieved by following a few simple rules:-

- The process must be aligned to clear criteria and/or terms of reference
- Where the matter is a complaint, the complainant should normally be interviewed first followed by the alleged perpetrator.
- Where there is no complainant, the alleged perpetrator would normally be interviewed first.
- During the initial interviews the individuals should also be asked if they have any witnesses whom they wish to be interviewed as witnesses. It may also be necessary to collect some background information before these interviews take place. It will be for the investigating manager to determine the relevance of those witnesses and ultimately their inclusion in the investigation. Where a decision is made not to interview identified witnesses this must be included in the final investigation report and an explanation included in any outcome letter.
- All employees who are directly involved or are witnesses or possess information that is beneficial to the investigation process, are expected to co-operate fully with all investigations and be open and honest in regards to information they provide. Under the registration of the relevant bodies, registrants have a duty to cooperate with any investigation process.
- Witnesses must be advised that should the case proceed to the next stage of the relevant policy that they may be called to give evidence.

4.3.1 Interview process

- Introduce everyone, outline the purpose of the interview, the investigation and the process which will be followed
- Explain what will happen with the notes of the meeting and timescales

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		

- Explain the decision making process and that the role of the Investigating Manager is to ascertain the facts and to draw conclusions
- Discuss confidentiality and stress its importance and any consequences of breaches.
- **Do not** make comments regarding findings to date and remain impartial
- Concentrate on specifics, e.g. events, times, dates what was seen and heard
- The extent of the investigation should be proportionate to the seriousness of the issue
- The Investigating Manager should try to put all individuals at ease
- All individuals have the right to be accompanied by either a Trade Union Representative or a Work Colleague
- Individuals should be available for meetings and not unreasonably delay the investigation. Written testimonials or telephone meetings can be accepted where availability is limited and/or where difficulty is encountered in arranging timely meetings. Where an employee does not cooperate, they must be informed that the investigation will conclude with the information available, if necessary
- Reluctant witnesses should be told that the interview will be held privately, that notes of the meeting will be taken which they will be able to verify for accuracy and should be reminded of their obligation of good faith to the employer
- Where a member of staff is absent from work through sickness, Occupational Health will be consulted. An investigation should not be delayed on the grounds of absence nor should it compromise an individual's health. Whilst the investigator will be sympathetic to an individual's condition the investigation will continue
- If an individual claims the allegations are vexatious, explain that the allegations at hand must be investigated initially and should there be evidence of malice, this be investigated subsequently

NOTE: - In cases of criminal and disciplinary investigations being conducted, investigation interviews can be conducted by both the LCFS and the Investigating Manager or Workforce Advisory Service representative, to avoid repetition where possible.

4.4 Note Taking

Verbatim notes do not need to be taken, but the key points of any answers should be noted. There may be repetition, but it is still important to record these responses.

4.5 Additional Evidence

Other relevant information that may need to be accessed could include:

- Trust financial records. If there are any doubts around this issue then audit should always be consulted.
- Occupational Health documents (subject to the requirements of the Access to Medical Records Act (Crown, 1988) and the Data Protection Act (Crown, 2018))
- Minutes of meetings

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		

- Appraisals, training records
- Details of any performance management documents
- Evidence from clients/patients, it may be appropriate to involve another professional in some incidents with sufficient expertise to communicate with, elicit and evaluate this type of evidence
- Documentary evidence in relation to the investigation, which could include policies, procedures, emails, log books etc.
- Closed Circuit Television (CCTV) evidence

When collecting additional information Investigating Managers should be mindful of the Data Protection Act, the Telecommunications Regulations 2000 and advice should be sought from the relevant specialists in these areas if necessary.

4.6 Evaluation of Data and Conclusion of the Investigation

Having gathered all the facts the investigating manager needs to reach a conclusion and make a recommendation as to the most appropriate course of action.

Recommendations can include the following:

- No case to answer
- No case to answer but recommendations made
- A case to answer that should be dealt with informally and may/may not include additional recommendations
- A case to answer that should be dealt with formally

Recommendations could include guidance for individuals including managers, training, or other appropriate action.

The investigation manager will prepare a summary report of their findings and discuss this with the Senior Manager who authorised the investigation. The Senior Manager will use this report to decide the next course of action.

All parties involved, excluding witnesses, need to be informed of the decision in writing.

Where the case is proceeding to a formal hearing the investigating manager should discuss the content of the Management Statement of Case (MSOC) with the Workforce Advisory Service representative who supported the investigation prior to this MSOC being released, (see Section 4.7). A formal hearing will then be arranged under the appropriate procedure (see Section 5).

4.7 Management Statement of Case (MSOC)

The summary report will form the basis of the MSOC which should include all aspects of the case that will be referred to within the hearing. All relevant evidence that has been gathered throughout the investigation should therefore be included. It is important to

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		

ensure that you do not develop a report which is biased towards an outcome, for example by omitting evidence which has been collected that does not support the case, (see Appendix 4).

5 References and Associated Documents

BTHFT - Procedure, 2015. *Handling Concerns Procedure for Medical and Dental Staff*. [Online]

Available at: <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-PROC-451.docx>

[Accessed 20 01 2020].

BTHFT - Procedure, 2018. *Disciplinary and Appeal Procedure*. [Online]

Available at: <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-PROC-636.docx>

[Accessed 13 01 2020].

BTHFT - Procedure, 2019. *Data Protection*. [Online]

Available at: <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-POL-064.docx>

[Accessed 30 03 2020].

BTHFT - Procedure, 2019. *Performance Management*. [Online]

Available at: <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-POL-517.docx>

[Accessed 13 01 2020].

BTHFT - Procedure, 2020. *Fraud, Bribery and Corruption Policy*. [Online]

Available at: <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-POL-136.pdf>

[Accessed 09 07 2020].

BTHFT - Procedure, 2020. *Freedom to speak up: raising concerns (whistleblowing) policy*. [Online]

Available at: <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-POL-214.docx>

[Accessed 10 08 2020].

Crown, 1988. *Access to Medical Reports Act 1988*. [Online]

Available at: <https://www.legislation.gov.uk/ukpga/1988/28/contents>

[Accessed 22 07 2020].

Crown, 2000. *The Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000*. [Online]

Available at: <https://www.legislation.gov.uk/uksi/2000/2699/contents/made>

[Accessed 10 08 2020].

Crown, 2018. *Data protection*. [Online]

Available at: <https://www.gov.uk/data-protection>

[Accessed 15 01 2020].

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
Do you have the up to date version? See the intranet for the latest version		

Appendix 1: Workforce Advisory Service: Employee Relations Just Culture Fact Finding Process Guidance



Blackpool Teaching
Hospitals
NHS Foundation Trust

Workforce Advisory Service: Employee Relations Just Culture Fact Finding Process Guidance:

The 4 W's

- **What.**
- **Who.**
- **Why.**
- **Way Ahead.**

A Just Culture looks first at **what** was responsible for an issue or situation before looking at **who** was responsible. The actions of individuals need to be placed into context early, not at the end which often happens.

The purpose of any employee relations process is to correct or improve either behaviour or performance, and to sustain the change or prevent a repeat. However we often only begin rebuilding or repairing relationships and situations at the end of the investigation following recommendations or the imposition of a sanction. By adopting a Just Culture approach to employee relations matters we will make our investigation process **constructive** rather than *destructive*.

Whilst all investigations will ultimately ask the question why, it is essential that early intervention looks at what happened, who was hurt or harmed, **why** did this happen and what is the immediate **way ahead** to begin repairing and ensuring it doesn't happen again.

Line Managers are crucial in this role, along with the Workforce Advisory Service and Staff Side partners supporting the process. Employees need to take responsibility and be accountable for their actions, however so does the organisation. To do this, individuals and their actions need to be placed **into** context via **immediate** fact finding **before** any **formal investigation** is considered.

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
Do you have the up to date version? See the intranet for the latest version		

Appendix 1: Workforce Advisory Service: Employee Relations Just Culture Fact Finding Process Guidance

Line Managers need to establish:

- **What** has happened?
- **Who** was hurt or harmed?
- **Why** did it happen?
- What is the immediate **Way Ahead**?

Fact Finding:

What has happened and **Who** (or what) was hurt or harmed

Summary of what happened

Statement from the member/s of staff involved

Statement from witnesses

Why did it happen?

Has there been a **system** failure – was the policy or procedure not adequate or not followed – if not followed why not?

Is there a lack of **resources** – was equipment or staffing correct and available?

Do the individuals involved have the **knowledge, skills** or **awareness** – did they know what to do, are there training issues?

Mitigation – are there any personal factors that have contributed?

What is the **Way Ahead**?

Is there any immediate action or intervention that could be done to stop a repeat or to repair a relationship quickly?

Is an immediate referral for support required, for example to Occupational Health?

Should a restriction be put in place immediately so that training or a repair could be completed?

Fact finding is not part of the formal process and will simply be a conversation between the line manager and the employees involved as soon as possible. Employees can either submit a summary to support what is being said or the manager will make a brief note of the discussion which will be signed and dated by the employee.

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		

Appendix 1: Workforce Advisory Service: Employee Relations Just Culture Fact Finding Process Guidance

Once fact finding is complete and immediate action taken the line manager may determine on balance, and taking account of consistency of application, no further action is required. In that case the line manager will summarise the events and the outcome in a letter to the employee, placing a copy, along with the fact finding documentation, on the personal file.

If the Line Manager believes the matter requires further action, or is unsure, then contact should be made with a more Senior Manager with support and guidance from the Workforce Advisory Service. Copies of all fact finding documentation should be provided to enable discussion and agreement on the following:

- Is a formal Investigation required?
- Which Senior Manager has approved this?
- Who will investigate?
- For disciplinary cases, could fast track be an option?*

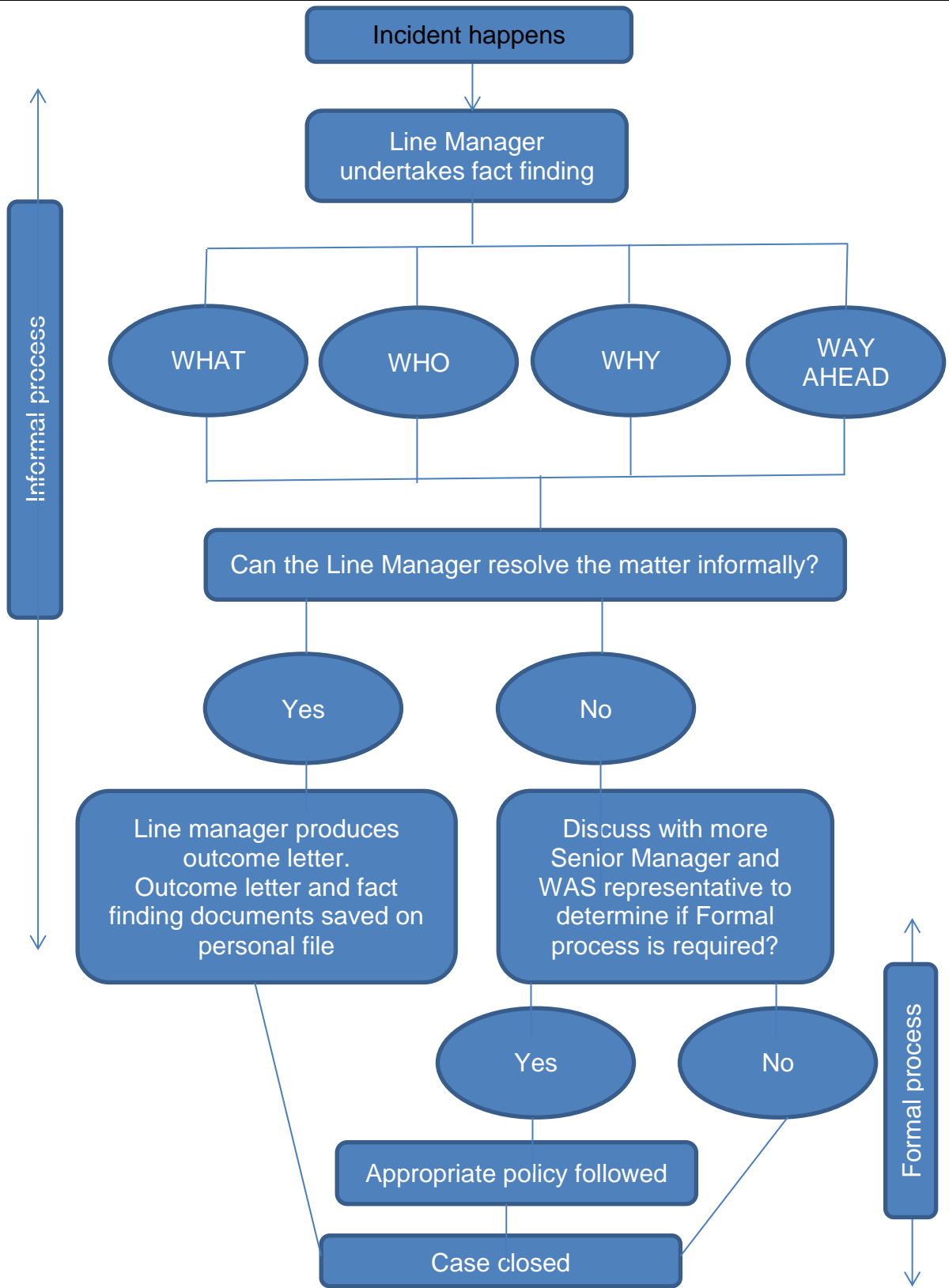
Where it is determined that a formal investigation is necessary this will commence as soon as possible, with the appointing manager confirming that the investigation manager has the necessary time and ability to fulfil this role. Investigations should be commenced and completed within the minimum timeframes possible. The Investigating Manager, the Workforce Advisory Service and Staff Side will be as flexible as possible in supporting efficient formal investigations thereby further minimising the impact on the individuals involved.

Where a suspension is considered appropriate this can only be authorised by 2 people, one of whom will be an Executive Director or their nominated Deputy. Where an employee is suspended this will always be for the minimum period necessary.

**NB. Fast Track is for cases of general misconduct where an employee has admitted their mistake and where a verbal warning is not suitable or appropriate. Fast track cannot be used for gross misconduct matters or cases where the employee is already in receipt of a live first written warning. Fast track cases are typically those where it is only necessary to interview the individual involved.*

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
Do you have the up to date version? See the intranet for the latest version		

Appendix 2: Flowchart



Appendix 3: Terms of Reference Example Template

Terms of Reference

Case Investigator: Name and Job Title
HR Support: Name and Job Title
Alleged Perpetrator: Name and Job Title

Allegations of Issues to be investigated

Provide an overview of the reason for the investigation and what is to be investigated

Proposed Timescale

(What is the proposed, realistic and achievable timescales in light of the scope of the investigation and confirm the case investigator is able to commit to this and has signed the TOR accordingly)

Applicable Policy

(which policy/policies under which this investigation is taking place)

Purpose of the Report

(What will this report be used for)

Report Copies

(who will receive copies of the report was the investigation is concluded)

Case Investigator Signature:

Blackpool Teaching Hospitals NHS Foundation Trust	ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023
Title: Investigation Guide for Managers	
<i>Do you have the up to date version? See the intranet for the latest version</i>	

Appendix 4: Management Statement of Case Template

1. Allegations

- What is the exact allegation;
- Which policy has this potentially breached.

2. Employee Details

- Name;
- Job title;
- Department;
- Date that their employment commenced with the Trust.

3. Incident Details

- Date and time of incident/alleged misconduct;
- Chronology of events or timeline;
- What is alleged to have happened?
- How the individual was involved;
- How the incident was reported / discovered.

4. Investigation

- Details of the investigative process;
- What meetings took place;
- What discussion took place;
- What written evidence was provided;
- Details of any consultation with the Local Counter Fraud Specialist (LCFS).

5. Findings

- Outcome of the investigation;
- How does the information confirm the allegation?
- Did the individual admit to the incident?
- Was any additional information revealed during the investigation that supports or refutes the case?

6. Additional Information

- Any other information that it is felt important to include;

7. Conclusion

- From the findings of the investigation what can be concluded?

8. Appendices

- Statements;
- Notes from meetings;
- Letters related to the investigation;
- Any appropriate records to support the case.

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		

Appendix 5: Equality Impact Assessment Form				
Department	Organisation Wide	Service or Policy	Guide	Date Completed: November 2019
GROUPS TO BE CONSIDERED				
Deprived communities, homeless, substance misusers, people who have a disability, learning disability, older people, children and families, young people, Lesbian Gay Bi-sexual or Transgender, minority ethnic communities, Gypsy/Roma/Travellers, women/men, parents, carers, staff, wider community, offenders.				
EQUALITY PROTECTED CHARACTERISTICS TO BE CONSIDERED				
Age, gender, disability, race, sexual orientation, gender identity (or reassignment), religion and belief, carers, Human Rights and social economic / deprivation.				
QUESTION	RESPONSE		IMPACT	
	Issue	Action	Positive	Negative
What is the service, leaflet or policy development? What are its aims, who are the target audience?	The Procedural Document is to ensure that all members of staff have clear guidance on processes to be followed. The target audience is all staff across the Organisation who undertakes this process.	Raise awareness of the Organisations format and processes involved in relation to the procedural document.	Yes – Clear processes identified	
Does the service, leaflet or policy/ development impact on community safety	Not applicable to community safety or crime	N/A	N/A	
• Crime • Community cohesion				
Is there any evidence that groups who should benefit do not? i.e. equal opportunity monitoring of service users and/or staff. If none/insufficient local or national data available consider what information you need.	No	N/A	N/A	
Does the service, leaflet or development/ policy have a negative impact on any geographical or sub group of the population?	No	N/A	N/A	
How does the service, leaflet or policy/ development promote equality and diversity?	Ensures a cohesive approach across the Organisation in relation to the procedural document.	All policies and procedural documents include an EA to identify any positive or negative impacts.		
Does the service, leaflet or policy/ development explicitly include a commitment to equality and diversity and meeting needs? How does it demonstrate its impact?	The Procedure includes a completed EA which provides the opportunity to highlight any potential for a negative / adverse impact.			
Does the Organisation or service workforce reflect the local population? Do we employ people from disadvantaged groups	Our workforce is reflective of the local population.			
Will the service, leaflet or policy/ development	N/A			
i. Improve economic social conditions in deprived areas				
ii. Use brown field sites				
iii. Improve public spaces including creation of green spaces?				
Does the service, leaflet or policy/ development promote equity of lifelong learning?	N/A			
Does the service, leaflet or policy/ development encourage healthy lifestyles and reduce risks to health?	N/A			
Does the service, leaflet or policy/ development impact on transport? What are the implications of this?	N/A			
Does the service, leaflet or policy/development impact on housing, housing needs, homelessness, or a person's ability to remain at home?	N/A			
Are there any groups for whom this policy/ service/leaflet would have an impact? Is it an adverse/negative impact? Does it or could it (or is the perception that it could exclude disadvantaged or marginalised groups?	None identified			

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5		Title: Investigation Guide for Managers
Next Review Date: 03/07/2023		
Do you have the up to date version? See the intranet for the latest version		

Appendix 5: Equality Impact Assessment Form				
Does the policy/development promote access to services and facilities for any group in particular?	No			
Does the service, leaflet or policy/development impact on the environment	No			
<ul style="list-style-type: none"> • During development • At implementation? 				
ACTION:				
Please identify if you are now required to carry out a Full Equality Analysis		Yes	No	(Please delete as appropriate)
Name of Author:	Eleanor Palmer-Rigby	Date Signed:		November 2019
Signature of Author:				
Name of Lead Person:		Date Signed:		
Signature of Lead Person:				
Name of Manager:		Date Signed:		
Signature of Manager				

Blackpool Teaching Hospitals NHS Foundation Trust		ID No. CORP/GUID/201
Revision No: 5	Next Review Date: 03/07/2023	Title: Investigation Guide for Managers
<i>Do you have the up to date version? See the intranet for the latest version</i>		