**Strictly Private and Confidential**

**NHSScotland Workforce Policies Investigation Report**

<details of employee under investigation

First Name / Surname

Job Title

Department>

Date Started: DD/MM/YYYY

Date Completed: DD/MM/YYYY

Date Report Submitted: DD/MM/YYYY

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# **1. Introduction**

<First name and surname of employee> is employed as a <Job title> and has worked for NHS Fife since <Start date with NHS Fife>.

<First Name> was investigated under the terms of the Once for Scotland Workforce Policy Investigation Process.

Those appointed to conduct the investigation were:

* <Insert name and job title of Investigation Manager>

<Insert department of Investigation Manager>

* <Insert first name and surname of HR Support and job title>

# **2. Remit**

The investigation was initiated to consider the following:

<insert detail of allegation e.g A **breach of NHS Data Protection and Confidentiality policy by <Name> accessing the electronic record of a [family member/Colleague] out with the scope of their work on <insert date and time>.** *DO NOT ENTER ANY IDENTIFIABLE DETAILS BELONGING TO PATIENTS, REFER TO ‘PATIENT A’*

**3. Background**

Fairwarning technology was introduced in March 2011 and the function of this is to identify any potential breaches of the GP/D3 Data Protection and Confidentiality Policy, together with a potential breach of Contract of Employment. (Appendix x attached policies)

All NHS Fife staff sign a Confidentiality Statement at the beginning of their employment with the NHS. (Appendix x attach employees signed Statement)

A warning message is displayed each time staff log on to our PCs which must be accepted before proceeding with logging in to a computer. By clicking OK on the warning message the member of staff is confirming that they understand and acknowledge the information provided and that they will abide by the NHS Fife Data Protection & Confidentiality Policy and Information Security. This warning message also states that inappropriate accessing of records will be investigated and may result in disciplinary action, up to and including dismissal.

The Information Governance Learnpro module training is compulsory and should be undertaken by employees every 3 years (did this happen and if not why not).

# **4. Methodology**

Relevant information and witness evidence was gathered to establish the facts and to support recommendations.

The investigation included interviews with the following people:

* <Insert first name, surname and job title>
* <Insert first name, surname and job title>
* <Insert first name, surname and job title>

Further documentation gathered during the investigation included:

* Supporting Evidence Document e.g. redacted patient records, eMails, screen shots, absence report;

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*Ensure you include the following Documentary evidence specific to Fairwarning;*

*A copy of fairwarning report print out with Patient name and CHI number removed*

*A copy of signed Confidentiality agreement*

*A copy of GP/D3 Data Protection and Confidentiality Policy*

*A copy or details of date DATIX was inputted for confidentiality breach*

*Any additional information provided by Fairwarning or IT regarding breach.*

*Reference to Learnpro being completed*

# **5. Findings**

**5.1 Interview with** <Insert first name, surname and job title of person under investigation> (see Appendices x and x)

Below is a summary of the main points:

<Summary of main points related to the investigation remit (including any contradictory evidence) >

## **5.2 Witness interviews** (If applicable)

Below is a summary of the main points from each interview:

<Insert first name, surname and job title>(see Appendices x and x)

<Summary of main points related to the investigation remit (including any contradictory evidence) >

## **5.3 Documentary evidence**

Below is a summary of the main points from the documentary evidence gathered:

#### Document(See Appendix x)

<Summary of main points related to the investigation remit (including any contradictory evidence) >

#### Document(See Appendix x)

* <Summary of main points related to the investigation remit (including any contradictory evidence) >

# **6. Mitigation**

Below is a summary of mitigation offered or identified during the investigation:

<Summary of main points from interview with employee under investigation, witnesses or documentary evidence such as Occupational Health reports.>

# **7. Conclusions**

Based on the interviews conducted and the documentary evidence, the following conclusion(s) were reached:

<Insert conclusion relating to each point within the remit>

**8. Recommendations**

On the basis of the above findings and conclusions, it is recommended that

<no further action is taken as the allegations are not upheld.>

or

<the following learning outcomes have been identified and should be supported by the manager under the early resolution stage of the Once for Scotland Capability Policy:>

or

<the following learning outcomes have been identified and should be supported by the manager under Stage ? of the Once for Scotland Capability Policy.>(to be used in more serious cases)

or

<the case is referred to a formal hearing under the Conduct or Grievance policy.>

<Insert Investigation Manager’s Name>

<Investigation Manager’s Job Title>

<Date DD/MM/YYYY>

**9. Appendices**

1. **Employee under investigation – Statement**
2. **Employee under investigation - Investigation note**
3. **Witness 1 – Statement**
4. **Witness 1 - Investigation Note**
5. **Documentary Evidence**
6. **Documentary Evidence**