

Investigation Report Forms - Guidance Notes

The investigation report forms are a series of documents designed to assist the investigator in producing a professional, comprehensive report in a recognised, standardised format.

Whilst the documentation set has been produced for and on behalf of England Golf (EG) they are portable and can be utilised by the National Safeguarding Panel (NSP) for any sport.

General guidance

Every enquiry has its own unique characteristics. By this very nature not all of the forms will be required in every case, yet sometimes a number of the forms may be required several times within one case. Select the requisite documents from the set.

Protective marking system

All documentation should be considered confidential. In addition, a number of the documents are marked 'restricted'. This indicates a higher level of confidentiality is required as the information contained within the document is more sensitive. Consideration must be given as to *who* should have access to this information - e.g. the case management group (CMG) or disciplinary panel members.

Chronology of documents

The documents are produced in numerical order. Each is designed to fulfil a specific purpose. Guidance on the completion of each document is also attached; however, this guidance is not intended to be absolutely prescriptive. Each investigator will develop their own style of presentation and may find that some of sections are not utilised or indeed some sports may have specific requirements that are not contained within the current document. Where any such amendment is necessary, or indeed an NGB or investigator has any suggestions or feedback, it is requested that Sport Resolutions is informed in order for this resource material to be developed.

Individual forms

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| FORM 1 | The investigation report |
| FORM 2 | The summary of interview with person(s) subject to concern |
| FORM 3 | Communication between the Investigator and the NGB/CMG/disciplinary/appeal panel |
| FORM 4 | Witness list |
| FORM 5 | Witness statement |

FORM 5a	Witness statement continuation
FORM 6	Witness interview summary
FORM 6a	Witness interview summary continuation
FORM 7	Interview plan (Person subject to concern)
FORM 7a	Interview plan continuation
FORM 8	Interview of person subject to concern
FORM 8a	Interview of person subject to concern continuation
FORM 9	Exhibit list
FORM 10	Investigators summary
FORM 10a	Investigators summary continuation
FORM 11	Investigators findings
FORM 11a	Investigators findings continuation
FORM 12	Investigators recommendations
FORM 12a	Investigators recommendations continuation
FORM 13	CMG Decision recording form
FORM 14	Unused material
FORM 15	Notification to insurer

Guidance for completion

This guidance is not intended to inform individuals how to conduct an investigation. It is designed to assist the investigator to gather all the information which is accumulated during the course of an enquiry in a more professional manner. Furthermore, it provides a template to enable:

- the investigator to gather, summarise, analyse and present their findings and recommendations in a consistent, professional and comprehensive format;
- the witnesses and person subject to concern to be treated in a consistent, open, transparent and professional manner;
- NGB/CMG to receive all the information in a concise way;
- the NGB disciplinary panel to receive all the information in a concise way;

- the NGB/NSP to comply with data protection legislation in the collation, processing, and retention of sensitive information;
- the NGB/NSP to gather case management data in an accurate and retrievable format.

FORM 1 – Investigation report

Each enquiry is assigned its unique reference number by Sport Resolutions, known simply as the case number. The case number appears at the head of each form.

This form gives an overview of the entire case, i.e.:

- name of person subject to concern
- nature of concern
- key witnesses
- summary of evidence
- referral to statutory agency
- outcome of that referral

For these reasons this document is marked restricted, and care, consideration, and agreement with the NGB should be given to:

- who this document is distributed to
- how it is distributed (use password/other protective measures)
- where the document will be stored on completion
- how long it will be retained for.

Section 1 provides the opportunity to gather case management data on the type of referrals. This is split into two. The concern as referred and the concern as finalised.

This is as a result of experience whereby following investigation the outcome of the concern differs from the initial presentation.

Box	Action
Incident type as reported Incident type as finalised	Tick relevant box (s)
Date referred/closed by insurers	Insert relevant dates
Person subject to concern	Insert personal details. The club, county, role or post held are key
Name of key witnesses and role	This just needs to be brief i.e. name of person and 'complainant', parent of complainant, fellow squad member witness to behaviour etc.
Summary of key facts/evidence	Summarise key evidence i.e. outline the facts, nature of complaint, action taken, who did what.
Referred to statutory authority	If yes, detail which services and the location i.e. Children's services, Police Force, Local Authority Designated Officer (LADO), Probation Service
Outcome of referral	Accepted as a referral or returned to the sport to manage

FORM 2 – Summary of interview with person(s) subject to concern

Box	Action
Interviewing officer	Insert name, date ,time ,location of interview
Persons present	Insert name of any persons present-this may be note taker, friend, relative, legal representative of person being interviewed
Summary of explanation of events	This is a <i>brief</i> overview of the response made by the person interviewed to concerns/allegations put to them.
Non key evidence/names/role in case	Insert the name of any other potential witnesses whose evidence is either not key or is peripheral to the case, i.e. other squad members, parents of

	witnesses, match officials
Other evidence on file	List any evidence - i.e. photographs, text messages, emails, letters
Investigating officers signature	Insert signature. This in essence is a guarantee from the investigator that all information tendered is as accurately as known at that time.
Time and date	Insert time and date of signature

FORM 3 – Information for NGB/CMG

This document is a communication between the investigating officer and the NGB/CMG/disciplinary/appeal/ panel.

Victims and witnesses

Again this is marked as restricted as it contains sensitive information relating to the witnesses in the case. In almost all cases the witness(es) will include young people.

Any witnesses not interviewed. State reasons.	Insert name of witness. Outline why not interviewed. This may be they declined to be interviewed/it was deemed unnecessary or not proportionate to the nature of the enquiry
Any witnesses not providing a written statement. State reasons.	Insert name of witness. Outline why a written statement was not provided. This may be that they declined to be interviewed/provide a written statement. It was deemed unnecessary or not proportionate to the nature of the enquiry.
If likely to proceed to disciplinary hearing, any vulnerable/intimidated witnesses?	Are any of the witnesses vulnerable? That could be by reason of age, disability, position in relation to person subject to concern.
Measures to be taken into account	Consideration of time/duration of any hearings (i.e. for young people). Witnesses to be afforded appropriate waiting room separate to person subject to concern.
Do any of the witnesses have special needs	Does the person need help to communicate,

	and/or be afforded additional support?
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Any other person involved subject to concerns

Action taken	Insert name of person and any action taken. Given formal warning/advice/training
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Local/public interest

Any matters of local/public interest in this case (consider impact of assessment/media response)	Where there is a high profile case, this is more likely to be done in conjunction with statutory authorities.
	At a more local level or within the sport there may be a need to prepare a strategic media/internal staff response

FORM 4 – Witness list

The number of witnesses will vary in each case ranging from one to many.

Where there are a large number, list in order of priority - i.e. victim, immediate witnesses, the individual to whom the concern was first raised, etc.

Name	Insert name of witness
Role	Explain their role - i.e. coach, junior organiser, parent
Interview	[Yes/no] was the person interviewed
Statement summary	Brief detail - i.e. corroborates witness, evidence of 1st disclosure

FORM 5/5a – Witness statement/continuation sheet

This form enables the investigator to capture the account of any witness. Utilising headed paper containing the declaration signed by the witness provides for a professional product.

Name, address, etc.	Insert all relevant details
Declaration	On completion of the statement invite the witness to sign. Insert the number of pages
Body of statement	Record the information provided by the witness. You may find it helpful to make some rough notes initially whilst the witness is explaining their account. This enables you to understand and capture the correct chronological sequence of events. (The notes should be retained and documented within the unused material schedule NSP 13) The words of the witness should be used. Care must be taken not to lead the witness. This is particularly relevant to young witnesses.
Signature, witnessed by, date	Witness should sign on completion. Any other witness present should sign, i.e. parent or carer

FORM 6/6a – Witness interview summary/continuation sheet

This form is used when the investigator conducts an interview with a person who provides information to the enquiry. For example this may be contextual or peripheral information about a situation or set of circumstances where there are concerns for the welfare or wellbeing of a young person. In other words there isn't a 'suspect' or person likely to be facing disciplinary action. The notes taken by the investigator are summarised and presented as a chronological report of events.

Person interviewed	Insert all relevant personal details
Body of report	Reflect as accurately as possible the account provided by the person interviewed, i.e. 'xxx informed me that xxx'.

FORM 7/7a – Interview plan - person subject to concern/continuation sheet

A crucial part of the investigation is planning to interview the person subject to the concern. This could be the person believed to be responsible for the behaviour subject to the concern, i.e. the accused, or could be the young person whose welfare is the subject of the enquiry.

There are many considerations to achieving the best interview product. These include:

- choosing an appropriate time and day of week
- venue - is it accessible? Consider the travel time and cost to get there, whether there is a suitable room conducive to preserving confidential nature, and privacy
- format – facilities; suitability for audio recording.
- fit for purpose? - too big/small, distractions (e.g. windows), telephone, other paperwork
- who else may be present

Once all these matters have been considered it is helpful to develop a plan for the actual content of the interview. Whilst you cannot pre-empt the response from any person interviewed you can prepare what you know needs to be covered.

Where there is a CMG in place the interview plan may be shared with group members ahead of the interview.

Name, address, etc.	Insert all relevant personal details
Points to prove	List all the questions you wish to ask. Review all witness material and ensure a question is asked regarding each concern or allegation raised. Consider any breaches of professional codes of conduct.

FORM 8/8a – Interview person subject to concern/continuation sheet

This form is utilised for the contemporaneous recording of the interview held with the person subject to concern, i.e. the accused. This affords an accurate, ideally verbatim account of the questions and responses. It is helpful for the investigator to be accompanied by a person to record the notes.

Name, time, date, etc.	Insert all relevant details
Method	<p>Tick relevant box. Hand write questions asked and answers provided.</p> <p>On completion the notes should be transcribed to typed format and forwarded to the person interviewed to agree their accuracy.(The original notes would become unused material)</p>

FORM 9 – Exhibit list

All exhibits to the case should be retained and recorded within the report.

In most cases the exhibits are likely to be documents in paper/electronic format. Exhibits should be referenced within the statement provided by the person 'owning' the exhibit - e.g. if a witness named John Smith received an abusive text message the message is 'owned' by that witness and should be referenced JS1.

Exhibit number	Exhibits should be listed in numerical order in which they appear in the case
Item	List the item, i.e. text message, letter, photograph
Reference number	Exhibits should be referenced within the statement/account provided by the person owning the exhibit

FORM 10/10a – Investigating Officer’s Summary

This is a chronological summary of the entire investigation. It should be factual and concise.

FORM 11/11a – Investigating Officer’s Findings

The investigator should report their findings. Detailing in a bullet point style list to keep it concise is helpful.

FORM 12/12a – Investigation Officer's Recommendations

The investigator should detail their recommendations and supporting reasons. Options include:

- internal disciplinary action
- introduction/amendment of codes of conduct
- provision of advice, training, support
- no action required

FORM 14 – Unused material

Unused material relates to any documentation, notes etc gathered during the course of the enquiry that is not needed as a material part of investigation file/disciplinary hearing but the fact that it exists should be documented, retained and disclosed, if necessary.

FORM 15 – Notification to insurer

Most NGBs should have insurance cover. The arrangement within EG, for example, is that on receipt of a referral the insurers are notified forthwith so as to give early notice.

The insurers are kept informed of the progress at significant progress intervals.

The form records the steps of notification.

Date referred to NGB/insurer	Insert relevant dates
Date/action taken/by whom	Insert action taken, i.e. referred to statutory agency, returned from statutory agency, under investigation, disciplinary action, etc.
Review date by insurer/date closed by insurer	Insert date
Organisation policies affected.	Tick relevant sport organisation. This will differ in each sport

Completed document

On completion of the investigation the document should be provided to the NSP Secretariat.

The NGB should have in place a clear retention, disclosure and disposal policy for the investigation report.

Carol Chamberlain

Safeguarding Children in Golf

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