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| Investigation report template: Staff/carer to client or unexplained injury incidents |
| Client Incident Management System (CIMS)  **OFFICIAL** |
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**Instruction text**

[Bracketed text is a guide only and should be deleted prior to providing the investigation report to the department]

*Text in purple italics is guidance or example – please delete prior to providing the investigation report to the department*.

Chapter 4: Investigating an incident of the *Client incident management system – Policy and guidance* sets out the minimum requirements for incident investigations.

Delete these instructions before submitting your report to the department. End instruction text.

# Incident details

|  |  |
| --- | --- |
| CIMS Incident number | [IRD number] |
| Date incident occurred |  |
| Date incident disclosed to service provider |  |
| Date of incident report |  |
| Organisation conducting investigation | [Organisation name] |
| Investigation manager | [Name, Position title, Organisation, Contact details] |
| Investigator/s (if different to investigation manager) | [Name, Position title, Organisation, Contact details] |
| Joint investigation by service provider and department? | [Yes / No]  [If yes, name, position title, organisation and contact details of the joint investigation manager.] |

# Victoria Police report details

|  |  |
| --- | --- |
| Incident reported to Police? | [Yes / No] |
| Details of report made to Police | [Date the incident was reported to Police]  [Method – emergency call, attendance at station, direct call to local station]  [Officer name and title]  [Police station or unit reported to and location] |
| Details of Police confirmation to proceed with the CIMS investigation | [Date confirmation given, officer name, station and contact details] |

# Persons involved

*Identify all persons involved in the incident, as detailed in the incident report.*

#### Client 1

|  |  |
| --- | --- |
| Name | [Name] |
| Address | [Address] |
| Date of Birth | [Date of birth] |
| Sex/Gender | [Sex] / [Gender] |
| Indigenous status | [Aboriginal/Torres Strait Islander/Both] [Not Aboriginal or Torres Strait Islander] |
| Client identifier, if applicable | [Detail the type of identifier]  [If a Child Protection client – please use the CRIS number. CRIS – 10101010] |
| Primary incident type |  |
| Secondary incident type |  |

*Copy the table above to add additional clients as required, up to a maximum of 10.*

#### Staff / carer 1 (subject of allegation)

*Delete if not required*

|  |  |
| --- | --- |
| Name | [name] |
| Address | [if this section is being completed for a staff member, put work address here] |
| Date of Birth | [date of birth] |
| Gender | [gender] |
| Indigenous status | [Aboriginal/Torres Strait Islander/Both] [Not Aboriginal or Torres Strait Islander] |
| Relationship to client/s | [staff / carer] |
| Length of relationship | [how long known client / how long worked with / how long residing with] |
| Organisation | [staff/carer organisation details] |
| Position / title | [staff position title, as applicable] |
| Length of service at organisation | [staff/carer length of service at current organisation] |

*Copy the table above to add additional staff / carers who are subject to allegation as required, up to maximum 10.*

# Executive summary

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| *Provide a succinct overview of:*   * *key details of the incident* * *the allegations investigated* * *key evidence gathered* * *the findings and outcomes* * *recommendations in response to investigation findings.*   *It is recommended that the executive summary is completed last.* |

# Allegations investigated

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| *Clearly outline the details of the allegations identified in an incident report that require investigation.*  *For complex incidents, multiple allegations may arise from a single incident.*  *Allegations listed in this section must match the allegations provided to the subject of allegation in the notification of investigation letter.*  ***Example:***  ***Client 1***  ***Allegation one – physical abuse***  *On or around the 01/01/2024, the subject of allegation hit the client on and around the face and torso with a closed first. Incident is alleged to have occurred at the Made-Up Children’s Play Centre, Suburb.*  ***Allegation two – emotional/psychological abuse***  *On or around the 01/01/2024, the subject of allegation said to the client ‘you are worthless’, ‘you deserve to be hit’. Incident is alleged to have occurred at the Made-Up Children’s Play Centre, Suburb.*  ***Client 2 (if applicable)***  ***Allegation three***  ***Allegation four*** |

# Additional considerations – Kinship care

*Delete if not required*

|  |
| --- |
| *Provide an overview/profile of the relationship between the client and kinship carer. Include, if known:*   * *Length of the relationship* * *Whether the kinship carer assessment was completed as required by the Kinship care guidelines* * *Whether additional supports and/or services identified as being required to enhance the stability and safety of the placement* * *Whether the supports/services identified to support the placement were provided* * *The strengths and vulnerabilities of the kinship care relationship for both the client and carer* * *The history and life experiences of the carer relevant to the investigation* * *Strategies that were used to respond to the vulnerabilities or needs of the carers to strengthen their participation in the investigation.* |

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| *Summarise how the investigation was conducted. Include the investigation plan as an attachment.*  *When the investigation does not follow the investigation plan, you may need to provide a rationale.*  *Example 1: The investigation plan identified that a relevant line of enquiry was to interview a person, but this interview was not conducted. In this case, include detail about why the investigation report is being completed without this information.*  *Example 2: Additional witnesses were interviewed as part of the investigation. These witnesses had not been identified in the investigation plan. In this case, no additional action or note is necessary.*  *Detail how procedural fairness and CIMS principles were upheld throughout the investigation.*  *When additional considerations were required (see Chapter 4.5 of the CIMS policy and guidance), detail how these were implemented throughout the investigation.*  *For Aboriginal clients or carers, detail the consultation/s with ACSASS or ACAC that occurred throughout the investigation.*  *Where further investigation is not required:*  *In some cases, clear evidence (such as CCTV footage) from the incident enables findings of abuse to be made without further information gathering. If further information gathering activities were not conducted due to the availability of significant, reliable information, this section must detail:*   * *The evidence obtained* * *How it has been obtained* * *How the evidence enables an outcome decision to be made* * *A rationale for why further information gathering activities are not appropriate to be undertaken.*   *You may then proceed to the findings, outcomes and recommendations section to complete the investigation report.* |

# Summary of investigation process

# Information gathered

### Summary of information gathered

*List the information collected throughout the investigation*

|  |  |
| --- | --- |
| Date | Type of information |
| [01/01/2024] | [Interview with client] |
| [01/01/2024] | [Interview with carer] |
| [01/01/2024] | [CCTV footage] |

### Detailed information gathered

*Provide details on the information identified in the table above*

#### Interview - [Client/Carer/Subject of Allegation/Witness]

|  |  |
| --- | --- |
| Name of person being interviewed |  |
| Role in incident | [Victim/subject of allegation/participant/witness/other (please specify)] |
| Relationship to client |  |
| Name of interviewer | [Name of person conducting the interview] |
| Date/s and location/s of interview |  |
| Details of others present during interview | [Details of support person / ACSASS / additional interviewers] |
| Summary of interview | [Provide a summary of the information gathered throughout the interview. A full interview transcript can be added as an attachment to the investigation report] |

*Copy above table to add additional interviews as required.*

#### Other information gathered

|  |  |
| --- | --- |
| Description of information | [What is the information] |
| How the information was obtained | [Where did the investigator obtain the information from/ Who provided the information] |
| Summary of information | [Provide a summary of the information. Images, detailed case notes, reports or other information can be added as an attachment to the investigation report] |

*Copy above table to add additional summaries as required**.*

Information unable to be obtained

*Detail any information identified in the investigation plan or throughout the investigation as relevant but unable to be obtained. Provide a rationale for why the investigation report can be completed without this information, including an assessment of the potential impact this may have on the outcome of the investigation.*

|  |  |
| --- | --- |
| Description of information |  |
| Rationale for why this information was not obtained during the investigation |  |
| Attempts to obtain the information |  |
| Assessment of impact on the investigation outcome | [Assessment of the potential impact of proceeding without this information may have on the outcome of the investigation.] |

*Copy above table to add additional detail as required.*

# Analysis

#### Allegation one

|  |
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| *Detail the analysis of the information collected throughout the investigation and the evaluation of the evidence relevant for each allegation, including assessment of the weight of the evidence:*   * *reliability and validity of the evidence* * *credibility of the evidence* * *whether the evidence is verified* * *relevance of the evidence to the allegation.* |

*Copy above table to add additional allegations if required.*

# Findings, outcome and recommendations

|  |  |  |  |
| --- | --- | --- | --- |
| Client / Allegation | Finding | Outcome | Recommendation |
| *Insert each allegation in a new row* | *Insert findings made from the evidence gathered throughout the investigation. There may be multiple findings listed against each outcome* | *Include outcome against each allegation identified in this incident report. One outcome per row.* | *List high-level recommendations being made to promote the safety and wellbeing of the client or support the continuous improvement of service delivery. Each recommendation must address the finding and outcome in the same row. Multiple recommendations can be made against the same findings and outcome.* |
| ***EXAMPLE***  *Client 1*  *Allegation one* | * *CCTV footage recorded the subject of allegation hitting the client with a closed fist on and around the face and torso* * *Client identified the subject of allegation as the person in the CCTV footage* * *Carer support plan not completed even though potential risk factors impacting on the sustainability of the placement were identified at the time of placement commencement.* | *The outcome of the investigation is that Client 1 was physically abused.* | * *Care team review of the placement and appropriateness for the client to remain in the kinship care placement.* * *Review processes associated with the commencement of new kinship carer arrangements to ensure early identification and implementation of supports that the carer may need during the initial phase of the placement.* |

## Investigator assessment

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| *Provide additional information:*   * *When the outcome decision is not supported by the findings, the rationale for why this occurred. For example, that while the findings determined that the incident occurred as described, the harm experienced by the client did not meet the threshold of physical abuse as described by the incident type definition.* * *When information was obtained that contradicts the outcome, a rationale for why this information was discounted in the investigation.* |

# Approval

*To be completed by the investigator*

|  |  |
| --- | --- |
| Report prepared by: | [Name and position of investigator] |
| Conflict of interest declaration | As the investigator, I declare that I have not had any prior personal involvement in this matter, nor do I have any personal bias or inclination, obligation or loyalty, that would in any way affect my conducting this investigation; nor any comments or critical analysis that I provide. |
| Signature |  |
| Date |  |

*Delete this table if investigator/investigation manager are the same person*

|  |  |
| --- | --- |
| Report endorsed by | [name and position of investigation manager] |
| Conflict of interest declaration | As the investigation manager, I declare that I have not had any prior personal involvement in this matter, nor do I have any personal bias or inclination, obligation or loyalty, that would in any way affect my conducting this investigation; nor any comments or critical analysis that I provide. As the investigation manager, I have verified that any other staff member involved in conducting the investigation also does not have a conflict of interest relating to this incident. |
| Signature |  |
| Date |  |

*To be completed by the service provider’s Chief Executive Officer, or delegated authority*

|  |  |
| --- | --- |
| Approved by: | [Name and title of service provider CEO or equivalent, or delegated authority] |
| Signature |  |
| Date |  |

# Attachments

*Relevant attachments or appendices can be included here. This may include the investigation plan, photographs, medical notes, case notes or detailed interview notes.*

*Attachments should be titled, and context provided where appropriate.*