Annex 3 Sample Minutes of a Conversation Concerning Complaints and Boundary Violations

(For institutions, employers, HR)

Delete or fill in yellow-highlighted fields.

1. Opening of the Conversation / Information

☐ It matters to those leading the conversation to clarify situations in which possible misconduct or a boundary violation is at issue in a fair, respectful, and objective manner. The aim is to ensure a safe environment for patients and for staff.

☐ Conversations with accused or affected persons in connection with a possible boundary violation are always conducted with particular care and sensitivity. To ensure fairness, transparency, and mutual safeguarding, two internal persons are always involved in conducting the conversation.

☐ The accused or affected person has the right to involve an additional professional or private support person. Was this communicated in advance?

☐ The protection of the personal integrity of all those involved has the highest priority. Accused persons are protected just as those affected. Premature judgements are not permitted.

☐ The conversations are confidential. Employers are bound by professional secrecy. Where a possible offence subject to public prosecution or an acute threat is at issue, it may be necessary to take steps in which confidentiality cannot be fully maintained.

☐ All information is to be treated confidentially. It may, however, be necessary to involve further persons, for example in the context of witness interviews or labour-law clarifications. Communication to the team, patients, relatives, or the public takes place exclusively via the responsible management persons. If required, specialist offices, experts, or authorities can be consulted.

☐ These minutes serve as a basis for the further procedure. They contain solely the accounts of the persons questioned, not the interpretations of those leading the conversation. At the end of the conversation, the minutes are read and signed by all persons present.

☐ The affected and accused persons are not permitted to confront one another independently. Discussions take place exclusively in the presence of leadership persons and after prior agreement. This ensures that complaints and boundary violations are handled within a clearly structured, fair, and responsible framework.

☐ The person involved has been informed about the situation and about the reasons for which they have been invited to this conversation (cf. point 4 "Content of the Report").

2. Minutes

Date: xx.xx.xxxx

- ☐ Conversation with accused person
- ☐ Conversation with affected person

3. Information on Persons Involved

Function	Name
Affected person	
Person leading the conversation	
Internal second person (taking minutes)	
Accused person	
Support person (if present)	

4. Content of the Report / Description of the Situation

What is the accused person being charged with?

Date	Description
xx.xx.xxxx	
xx.xx.xxxx	
xx.xx.xxxx	

5. Content of the Report / Situation / Boundary Violation (cf. complaint form if applicable)

What was the accused person charged with, and through which channel?

Date	Description
xx.xx.xxxx	
xx.xx.xxxx	
xx.xx.xxxx	

6. Position of the Affected Person

Guiding questions:

1) How are you? Do you feel able to talk about the situation? (If not: documentation, or – where justifiable – termination and planning of a new framework, e.g. with a support person or external moderation.)
2) Is this conversational setting appropriate for you, and are you here voluntarily?
3) What happened? Please describe the objective course of events.
4) When did it happen?
5) Who was involved? Were there any witnesses?
6) Do you have any other evidence or documentation of the events?
7) How did you experience the situation?
8) What unsettled, hurt, or disturbed you?
9) Did you react to the situation? If so, how?
10) What courses of action do you see?
11) What do you expect from the accused person, from the team, and from management?
12) Do you require further counselling or support (referral to internal and external bodies)?

Text field – verbatim minutes

7. Position of the Accused Person

Guiding questions:

1) How are you? Do you feel able to talk about the situation?
2) Is this conversational setting appropriate for you, and are you here voluntarily? (If not: documentation, or – where justifiable – termination and planning of a new framework, e.g. with a support person or external moderation.)
3) What, in your view, has happened? Please describe the course of events.
4) When did it happen?
5) Who was involved? Were there any witnesses?
6) The following statements by the affected person have been brought to our attention… To what extent does the perception described differ from yours?
7) How did you experience the situation?
8) Did you react? If so, how?
9) What courses of action or recommendations do you see for the further handling of the situation?
10) What do you expect from the team and from management?

Text field – verbatim minutes

8. Further Procedure

The participants determine the following next steps and measures:

Measure	Responsible	Deadline

The case is closed

☐ Yes

☐ No

Date and signatures of all parties involved

Name 1 Name 2 Name 3 Name 4