



**Guidance that the Academy will use when  
Managing Allegations against Education Staff  
and Volunteers Working with Children and Young People**

**Contents**

Safeguarding Environments  
Scope of procedures  
Roles & responsibilities  
Named Senior Officer  
Local Authority Designated Officers (LADOs)  
Executive Principal  
Designated Person for Child Protection  
Governing Body  
Designated roles of TV Police Child Abuse Investigation Unit (CAIU)  
General Considerations  
Information Sharing and Notification  
Confidentiality  
Support  
Suspension  
Resignations & Compromise Agreements  
Organised & Historical Abuse  
Whistle Blowing  
Timescales  
Initial Response to Allegations or Concerns  
Source of Concern  
Initial Action by Person Receiving allegation  
Initial Action by Executive Principal  
Initial Consideration by Executive Principal & LADO  
Strategy Discussions / Meetings  
Information Required for Strategy Meetings  
Allegations against Staff in their Personal Lives  
Disciplinary & Suitability Process  
Supply, Contract & Volunteer Workers  
Sharing Information for Disciplinary Purposes  
Record Keeping & Monitoring Progress  
Instigating an Investigation under Disciplinary Procedures  
Issue an Informal Warning and/or Take Professional Advice  
No Further Action  
Unsubstantiated & False Allegations  
Referral to List 99, POCA or Regulatory Body  
Learning Lessons  
Managing the Aftermath  
Contact Details p20  
Flow charts p21  
Allegations against staff & volunteers child protection process  
Allegations against staff & volunteers disciplinary/suitability process



**Guidance that the Academy will use when  
Managing Allegations against Education Staff  
and Volunteers working with Children and Young People**

**Safeguarding Environments**

This document has been produced for schools, other educational establishments and support services as guidance in the management of allegations against staff that are of a child protection nature.

The protection of pupils from abuse is the responsibility of all staff. Executive Principals, Headteachers and Designated Persons should ensure that staff and pupils are aware of how to report concerns of abuse and neglect.

Schools should be proactive in reducing the risk of child abuse taking place within the services they provide by:

- Developing a safeguarding ethos in which children and staff can express their concerns; where staff are encouraged to challenge poor practice constructively; and where 'whistle-blowing' procedures can be engaged without fear. This means that safeguarding policies and procedures are accessible to all and that there are means for communication and access to skilled advice, both internal and external to the organisation.
- Adopting safe recruitment and effective safe termination of employment practices.
- Ensuring that all staff receive appropriate training in child protection: signs, symptoms and referral procedures, which include how to recognise and respond to allegations against staff.
- Ensuring that staff understand what is safe practice and what is not. In particular, staff must be aware of behaviours that are likely to bring about criminal, child protection or disciplinary action. All staff therefore, should be provided with clear and relevant codes of conduct.
- Ensuring that vulnerabilities expressed by staff are taken seriously and responded to at the earliest stage.
- Ensuring that risk assessments following allegations are undertaken to reduce the likelihood of repetition.

A failure to report an allegation or concern in accordance with the following procedures is a potential disciplinary matter.

Staff and volunteers are also strongly advised to report any incident, involving themselves that could give rise to concern, including the potential for misinterpretation by others.



## Scope

These procedures are based on the framework for dealing with allegations of abuse made against a person who works with children as detailed in Working Together to Safeguard Children 2015. They should be followed by all organisations providing services for children and young people.

Compliance with these procedures will help to ensure that allegations of abuse are dealt with expeditiously; consistent with a thorough and fair process for all concerned.

These procedures should be applied when there is an allegation or concern that any person who works with children, in connection with his/her employment or voluntary activity, has:

- Behaved in a way that has harmed a child, or may have harmed a child
- Possibly committed a criminal offence against or related to a child
- Behaved towards a child or children in a way that indicates s/he is unsuitable to work with children.

These behaviours should be considered within the context of the four categories of abuse i.e. physical, sexual, emotional abuse and neglect as defined in Working Together to Safeguard Children 2015. These include concerns relating to inappropriate relationships between members of staff and children or young people e.g:

- Having a sexual relationship with a child under 18 if in a position of trust in respect of that child, even if consensual
- 'Grooming' i.e. meeting a child under 16 with intent to commit a relevant offence
- other 'grooming' behaviour giving rise to concerns of a broader child protection nature e.g inappropriate text/e-mail messages or images, gifts, socialising etc
- Possession of indecent photographs/pseudo-photographs of children

References to staff should be read as including all staff, whether in a paid or voluntary capacity.

## ROLES AND RESPONSIBILITIES

### Named Senior Officers

Each WMLSCB (Windsor and Maidenhead Local Safeguarding Children Board) member organisation should identify a named senior officer with overall responsibility for:

- Ensuring that the organisation deals with allegations in accordance with these procedures
- Resolving any inter-agency issues
- Liaising with the WMLSCB on the subject
- Ensuring that information is collated in accordance with the requirements of the Cases Review Sub Committee and regularly made available to that Sub Committee.

The WMLSCB takes lead responsibility for co-ordinating the strategic response of member organisations in the management of allegations against staff and volunteers. This Committee will



operate to ensure that agreed standards in managing allegations are communicated across the Authority, and that mechanisms are in place to ensure effectiveness and consistency in practice.

### **Local Authority Designated Officers (LADOs)**

Each Local Authority has officers in place with specific responsibility for:

- Being involved in the management and oversight of individual cases
- Providing advice and guidance to employers and voluntary organisations
- Liaising with the police and other agencies
- Monitoring the progress of cases to ensure that they are dealt with as quickly as possible, consistent with a thorough and fair process

The functions of the LADO are covered by two posts in The Royal Borough Local Authority:

- For allegations against staff in education, the functions are carried out by the Manager for the Safeguarding in Education Team
- For all other staff, the functions are carried out by the Manager for the Specialist Investigation and Assessment Team

Where the role of the LADO could be compromised by his/her operational involvement in a case, the Named Senior Officer within the Local Authority will oversee arrangements.

**Executive Principal** – The Executive Principal is responsible for dealing with allegations against members of staff. In his absence, this role should be undertaken by the Head of School. In general, the Executive Principal is responsible for creating a safe environment in the Academy and is responsible for appointing a Designated Person for Child Protection.

**Designated Person for Child Protection** – This is a senior member of staff within the Academy who has responsibility for co-ordinating action on general child protection issues. Other than where the Executive Principal also holds this role, the Designated Person should not take responsibility for managing allegations against staff.

**The Governing Body** – The Governors are responsible for ensuring that there are sufficient measures in place to safeguard the children in their establishment. A Nominated Governor may act on behalf of the corporate body.

- The Nominated Governor liaises with the Executive Principal and Designated Person; ensures that an appropriate child protection policy and procedures are in place (which include allegations against staff); and presents an annual report on the child protection activity within the establishment.
- Where an allegation is made against the Executive Principal, the Chair or Vice Chair takes responsibility for managing the case and for liaising with the LEA Lead Officer and investigative agencies. The Chair or Vice Chair can also be the Nominated Governor,
- The Governor who takes responsibility for managing an allegation against the Executive Principal should not become part of any following disciplinary board on the same matter.



Throughout this guidance where the Executive Principal is referred to, the role is covered by the Chair of Governors where the Executive Principal is the subject of the allegation.

### **Designated Roles within Thames Valley Police - Child Abuse Investigation Unit (CAIU)**

The Detective Inspector will:

- Have strategic oversight of the local police arrangements for managing allegations against staff and volunteers
- Liaise with RBWMSCB on the issue
- Ensure compliance

The Designated Sergeant or Deputy will:

- Liaise with the Local Authority Designated Officer
- Take part in strategy discussions
- Review the progress of cases in which there is a police investigation

NB Where the Designated Sergeant is not able to attend the strategy discussion, he/she should fully brief the attending officer.

Designated Officer for allegations against police staff

The DCI for Public Protection – Crime Support will oversee all allegations against police staff.

- Cases requiring criminal investigation will be conducted with the involvement of both the CPIU and the Professional Standards Department
- Cases requiring disciplinary enquiries will be handled by the Professional Standards Department
- Cases will also be overseen by the IPCC (Independent Police Complaints Commission).

### **General Considerations**

#### **Information Sharing and Notification**

#### **Children, young people, parents or carers**

The parent(s) carer(s) and the child, if sufficiently mature should be helped to understand the processes involved and kept informed about the progress of the case and of the outcome. This will include the outcome of any disciplinary process, but not the deliberations of, or the information used in, a hearing.

#### **Staff and Volunteers Subject to Allegations or Concerns**

The police may decide that enquiries might be hindered by an early approach to parties, or that certain information should not be divulged to them. The Executive Principal and LADO should



therefore ensure there is no objection by the police before contacting any parties. They may also wish to consult Social Care on how best to inform the child/parents.

The member of staff should:

- Be treated fairly, honestly and helped to understand the concerns expressed and processes involved
- Be kept informed of the progress and outcome of any investigation and the implications for any disciplinary or related process
- If suspended, be kept up to date about events in the workplace

### **Ofsted**

Ofsted should be informed of any allegations or concern made against:

- a member of staff (this includes volunteers)

They should also be invited to take part in strategy discussions

### **Confidentiality**

Every effort should be made to maintain confidentiality and guard against publicity while an allegation is being investigated or considered. Apart from keeping the child, parents and accused person up to date with the progress of the case, information should be restricted to those who have a need to know in order to protect children, facilitate enquiries, manage related disciplinary or suitability processes.

The Police should not provide identifying information to the press or media, unless and until a person is charged, except in exceptional circumstances e.g an appeal to trace a suspect. In such cases, the reasons should be documented and partner agencies consulted beforehand.

### **Support**

The organisation together with Children's Social Care and/or the Police where they are involved, should consider the impact on the child concerned and provide support as appropriate. Liaison between the agencies should take place in order to ensure that the child's needs are addressed.

As soon as possible after an allegation has been received, the accused member of staff should be advised to contact his/her union or professional association, if they are affiliated to one. Human Resources should be consulted at the earliest opportunity in order that appropriate support can be provided via the organisation's occupational health or employee welfare arrangements.

Where a member of staff returns to work after a period of suspension, the employer should consider what help and support might be appropriate e.g. a phased return to work; provision of a mentor; how best to manage the member of staff's contact with the child concerned, if still in the workplace.



## **Suspension**

Every effort should be made to ensure that the impact of suspension on the member of staff concerned is as neutral as possible. It should be considered in any case where:

- There is cause to suspect a child is at risk of significant harm, or
- The allegation warrants investigation by the police, or
- The allegations is so serious that it might be grounds for dismissal

The possible risks should be evaluated and managed in respect of the child/ren involved and any other children in the accused member of staff's home, work or community life.

The decision whether to suspend rests with the Executive Principal. The Executive Principal should however, make an informed decision by seeking a recommendation from the LADO and from investigative agencies where they are involved.

### **Interview to consider suspension**

Where suspension is considered, the Executive Principal should arrange an interview with the member of staff outside pupil contact time wherever possible.

Prior to the interview, the Executive Principal should advise the member of staff that he/she may be assisted by a union representative or friend with whom he/she can have a brief meeting before the interview.

At the outset of the interview, the Executive Principal should inform the member of staff that an allegation has been made and at the conclusion of the interview there may be a decision to suspend, whilst further investigation takes place.

The member of staff should also be told:

- that this interview is not a formal disciplinary hearing or examination of the evidence, but an opportunity to make representations after the reasons for any proposed suspension have been given.
- that he/she may have a brief adjournment prior to giving a response.

The member of staff should be provided with as much information as is consistent with not interfering with an investigation about the allegation. Advice should be sought from the investigating authorities and LEA Lead Officer in advance of this meeting.

### **Immediate action following suspension**

If, as a result of the interview, suspension is considered necessary, the Executive Principal should advise the member of staff and confirm the decision and reason in writing within one working day. The Executive Principal should inform the Chair of Governors and the Director of Children's Services formally in writing that a member of staff has been suspended. (The Chair of Governors should inform the Director of Children's Services if an Executive Principal has been suspended). The Executive Principal should send a report to the Governing Body informing them that a member of



staff has been suspended. The report should only contain minimum information to avoid prejudicing their impartiality in any subsequent hearing or appeal in disciplinary proceedings.

### **Persons to be informed of the suspension**

- The pupil or parent making the allegation should be informed of the suspension and asked to maintain confidentiality. Where the pupil is under 18, his/her parent should also be informed if consistent with wider child protection considerations.
- Senior members of staff should be informed of the reasons for suspension but only as far as necessary. Generally, this should only mean informing staff that an allegation has been made and whom it concerns. Further detail should normally be withheld.
- The Executive Principal should also consider whether it is necessary to inform other members of staff. Advice should be sought from the LEA Lead Officer and Strategy Group on this matter.
- In certain circumstances, the Executive Principal may need to provide immediate reassurance to parents and children in the educational establishment. Again, advice should be sought from the LEA Lead Officer and Strategy Group on this matter. Any action should be considered against the need to avoid unwelcome publicity.
- Where serious cases for child protection are concerned and/or there is potential for media interest, a media strategy meeting should be held, involving the Strategy Group, Senior Management and advice sought from the communications officers of the Local Authority and/or Police

### **Suspension of a governor**

In certain prescribed circumstances the governing body can decide to suspend a governor for a period of up to 6 months – but it does not have to do so (Academy Governance procedures – England – Regulations 2003). The governing body can only suspend a governor if one or more of the following grounds apply:

- The governor is paid to work at the Academy and is the subject of disciplinary proceedings in relation to his/her employment.
- The governor is the subject of any court or tribunal proceedings, the outcome of which may be that he is disqualified from continuing to hold office as a governor under schedule 6 of the regulations; or
- The governor has acted in a way that is inconsistent with the Academy ethos or with the religious character and has brought or is likely to bring the Academy or the governing body or his office of governor into disrepute; or
- A governor is in breach of his duty of confidentiality to the Academy or to the staff or to the pupils.

### **Resignations and 'Compromise Agreements**

Every effort should be made to reach a conclusion in all cases even if:





- The individual refuses to cooperate, having been given a full opportunity to answer the allegation and make representations
- It may not be possible to apply any disciplinary sanctions if a person's period of notice expires before the process is complete

Compromise agreements must not be used. A 'compromise agreement' is where a member of staff agrees to resign provided that disciplinary action is not taken and that a future reference is agreed.

### **Organised and Historical Abuse**

Investigators should be alert to the signs of organised or widespread abuse and/or the involvement of other perpetrators or institutions. They should consider whether the matter needs to be dealt with in accordance with Complex Abuse Procedures, which if applicable, will take priority.

Historical allegations should be responded to in the same way as contemporary concerns and with the same degree of priority. It will be important to ascertain if the person is currently working with children and if that is the case, to consider whether the current employer should be informed.

### **Whistle-blowing**

All staff should be made aware of their organisation's whistle-blowing policy and encouraged to voice concerns about the attitude or actions of colleagues. If a member of staff believes that a reported allegation or concern is not being dealt with appropriately by their organisation, s/he should report the matter to the LADO.

### **Timescales**

It is in everyone's interest for cases to be dealt with expeditiously, fairly and thoroughly and for unnecessary delays to be avoided. Target timescales are set out in these procedures. If these timescales cannot be met, the reasons should be documented e.g. because of specific nature or complexity.

### **Initial Response to Allegations or Concerns**

#### **Source of concern**

An allegation against a member of staff may arise from a number of sources e.g a report from a child victim, a concern raised by another child or adult in the Academy, or a complaint by a parent or carer.

#### **Initial action by person receiving or identifying an allegation or concern**

The person to whom an allegation or concern is first reported should treat the matter seriously and keep an open mind.

S/he should not;

- Investigate or ask leading questions, if seeking clarification



- Make assumptions or offer alternative explanations
- Promise complete confidentiality

S/he should:

- Instigate immediate medical care where appropriate (e.g. initial first aid, not forensic examination)
- Offer reassurance that the information will only be shared on a 'need to know' basis
- Make a written record of the information (where possible using the child/adult's actual words), including time, date and place of incident(s), person present and what was said.
- Sign and date the written record
- Immediately report the matter to the Executive Principal or Head of School in his/her absence

### **Initial action by the Executive Principal**

It is important to recognise that establishing whether an allegation warrants further investigation is not the same thing as whether an allegation is founded. When informed of a concern or allegation, the Executive Principal should not investigate the matter or interview the member of staff concerned or potential witnesses. S/he should:

- Obtain written details of the concern/allegation, signed and dated by the person receiving (not the child/adult making the allegation)
- Countersign and date the written details
- Record any information about times, dates and location of alleged incident(s) and names of any potential witnesses
- Record discussion about the child and/or member of staff, any decisions made, and the reasons for those decisions.

If the allegation meets the criteria in paragraph (see criteria under 'SCOPE') the Executive Principal should report it to the LADO within 1 working day. Referral should not be delayed in order to gather further information.

As soon as possible after an allegation is made, the parents or carers should be informed. Where possible, advice should be sought from the LADO in advance on how this should be managed.

The LADO should also be consulted about how and when the accused member of staff is to be informed of the allegation. If sharing the information with the member of staff will not impede or undermine any subsequent investigation, there should be no delay in doing so. At this early stage, it is advisable to only explain that an allegation of a child protection nature has been made. The detail of the allegation can be explained by the investigative agencies.

If an allegation is received directly by the LADO (e.g. from a whistleblower) the LADO must take immediate action to inform the Executive Principal. If the Executive Principal is off-site, or the allegation is made outside normal Academy hours the LADO must make every effort to contact the Executive Principal using emergency numbers. If an allegation requires immediate attention, but is received outside of normal office hours, the Executive Principal should consult the Social Care



Emergency Duty Team or the CAIU via local Police. The Executive Principal should also inform the LADO as soon as possible following this action.

If a police officer receives an allegation, s/he should, without delay, report it to the Designated Detective Sergeant in the CAIU. The Designated Detective Sergeant should immediately inform the LADO.

Similarly, an allegation made directly to Social Care should be immediately reported to the LADO.

### **Initial consideration by the Executive Principal and the LADO**

There are up to 3 strands in the consideration of an allegation:

- A police investigation of a possible criminal offence
- Social Care enquiries and/or assessment about whether a child is in need of protection or services
- Consideration by an employer of disciplinary action

The LADO and the Executive Principal should consider first whether further details are needed and whether there is evidence or information that establishes that the allegation is false or unfounded. Care should be taken to ensure that concerns are not dismissed where a child might be confused about dates, times, locations or identity of the member of staff.

If the allegation is not demonstrably false at the outset, and there is cause to suspect that a child is suffering or likely to suffer significant harm the LADO should request an immediate strategy discussion within 24 hours. Where the LADO is the designated officer within the Safeguarding in Education Team, s/he should liaise with the Team Manager of the Specialist Investigation and Assessment Team to request that a strategy discussion is convened within the same timescale.

The police must be consulted about any case in which a criminal offence may have been committed. Even where the threshold for significant harm is not reached, but a police investigation might be needed, the LADO should also request a strategy discussion. The issue of suitability to work with children must also be discussed.

### **Strategy discussions/meetings**

Wherever possible, a strategy discussion should take the form of a meeting, however on occasions a telephone discussion may be justified. The following is a list of possible participants:

- LADO
- Social Care Manger to chair
- Relevant Social Worker and his/her manager
- Detective Sergeant
- Executive Principal
- Human Resources representative
- Legal Adviser where appropriate



- Senior representative of the employment agency or voluntary organisation if applicable
- Those responsible for regulation and inspection
- Paediatrician where applicable
- Relevant agencies, where a child is placed or resident in another authority

### **Information required for Strategy Meetings**

The employer or their representative is likely to hold important information for the strategy discussion to consider. The employer (together with Human Resources where involved) should ensure that as much of the following information as possible is made available to the strategy discussions:

Regarding the alleged incident:

- Details of initial report e.g. time(s), date(s), location(s), what was said and by whom
- Possible witnesses

Regarding the member of staff:

- Personal details i.e. name, date of birth, address, ethnicity
- Employment record
- Any previous concerns/allegations
- Work context and duties
- Relationships with colleagues and pupils
- Other activities where he/she may have contact with children
- Relevant personal and family information (if known)
- Hobbies or interests e.g. photography and IT
- Awareness of procedures, relevant training undertaken

Regarding the child and his/her family:

- Personal details e.g. name, date of birth, address, ethnicity etc
- Family composition, history
- contact details
- relationship with Academy
- Educational ability, development and progress, including any special education needs
- Previous child protection concerns and vulnerability factors
- Whether previous allegations made
- Social relationships and activities, during and after Academy
- Speech, language and communications development
- Health; physical, emotional, behavioural and cognitive development



Regarding the organisation/service

- Relevant policies and procedures e.g. physical intervention, and how staff made aware of these
- Relevant training and how staff attendance is monitored

The first and any subsequent strategy discussions should:

- Ensure that where appropriate, immediate arrangements are made to protect the child/ren involved and any other child/ren possibly affected
- Decide whether there should be a s.47 enquiry and/or police investigation
- Consider whether any parallel disciplinary process can take place and agree protocols for sharing information
- Consider the current allegation in the context of any previous allegations or concerns
- Where appropriate, take account of any entitlement by staff to use reasonable force to control or restrain children e.g. Section 550a Education act 1996
- Consider whether a complex abuse investigation is applicable
- Plan enquiries if needed, allocate tasks and set time-scales
- Decide what information can be shared, with whom and when
- Consider what support should be provided to all children who may be affected
- Consider what support should be provided to the member of staff and others who may be affected
- Ensure that investigations are sufficiently independent
- Make recommendations where appropriate regarding suspension, or alternatives to suspension
- Agree protocols for reviewing investigations and monitoring progress by the LADO, having regard to target timescales
- Consider issues for the attention of senior management e.g. media interest, resource implications
- Agree dates for future strategy discussions

Staff in education have a duty to assist the police and social services with child protection enquiries.

Police should not normally conduct interviews on Academy premises, but where this is necessary, the interviews should be conducted at reasonable times.

Staff must maintain confidentiality about the enquiry, other than fulfilling their obligation to assist police and social services.

### **Allegations against staff in their personal lives**

If an allegation or concern arises about a member of staff, outside of his/her work with children, and this may present a risk to children for whom the member of staff is responsible, the general principles outlined in these procedures still apply.

The strategy discussion should consider whether the concern identified justifies:



- Approaching the member of staff's employer for further information, in order to assess the level of risk; and/or
- Inviting the employer to a further strategy discussion about dealing with the possible risks

If the member of staff lives in a different authority to that which covers his/her workplace, liaison should take place between the relevant agencies in both areas and a joint strategy discussion convened.

In some cases, an allegation of abuse against someone closely associated with a member of staff e.g. partner, member of the family, or other household member, may present a risk to children for whom the member of staff is responsible. In these circumstances, a strategy discussion should be convened to consider:

- The ability and willingness of the member of staff to adequately protect the children
- Whether measures need to be put in place to ensure their protection
- Whether the role of the member of staff is compromised

### **Disciplinary and Suitability Processes**

The LADO and the Executive Principal should discuss whether an internal disciplinary investigation is appropriate in cases where:

- It is clear at the outset or when decided by a strategy discussion, that a Police investigation or Social Care enquiry is not necessary, or
- The employer or the LADO is informed by Police or the Crown Prosecution Service (CPS) that a criminal investigation and any subsequent trial is complete, or that an investigation is to be closed without charge, or a prosecution discontinued, or
- Where the Police and CPS formally agree to a disciplinary investigation running concurrently with their own investigations

The discussion should consider any potential misconduct and/or suitability issues on the part of the member of staff and take into account:

- Information provided by the Police and/or Social Care
- The result of any investigation or trial
- The different standard of proof in disciplinary and criminal proceedings

If formal disciplinary action is not required, the employer should institute appropriate action within 3 working days. If a disciplinary hearing is required, and further investigation is not required, the hearing should be held within 15 working days.

If further investigation is needed to decide upon disciplinary action, the employer and the LADO should discuss whether the employer has appropriate resources or whether the employer should



commission an independent investigation because of the nature and/complexity of the case and in order to ensure objectivity.

The aim of an investigation is to obtain, as far as possible, a fair, balanced and accurate record in order to consider the appropriateness of disciplinary action and/or the individual's suitability to work with children.

The investigating officer should aim to provide a report within 10 working days.

On receipt of the report the employer should decide within 2 working days, whether a disciplinary hearing is needed. If a hearing is required, it should be held within 15 working days.

If at any stage, new information emerges that requires a child protection referral, the disciplinary investigations should be held in abeyance and only resumed if agreed with Social Care and the Police. Consideration should again be given as to whether suspension is appropriate in light of the new information.

### **Supply, contract and volunteer workers**

In the case of supply, contract and volunteer workers, normal disciplinary procedures may not apply. In these circumstances, the LADO and employer should act jointly with the providing agency, if any, in deciding whether to continue to use the person's services, or provide future work with children, and if not whether to make a report for consideration of barring or other action.

### **Sharing information for disciplinary purposes**

Wherever possible, Police and Social Care should, during the course of their investigations and enquiries, obtain consent to provide the employer and/or regulatory body with statements and evidence for disciplinary purposes. Consideration should also be given to the type of evidence required and how the employer and/or regulatory body is to access such evidence e.g. transcripts from, or direct viewing of, video recorded interviews.

If the Police or CPS decide not to charge, or decide to administer a caution, or the person is acquitted, the Police should pass all relevant information to the employer without delay.

If the person is convicted, the Police should inform the employer straight away so that appropriate action can be taken.

### **Record keeping and monitoring progress**

Employers should keep a clear and comprehensive summary of the case record on a person's confidential personnel file and give a copy to the individual. The record should include details of how the allegation was followed up and resolved, the decisions reached and the action taken. It should be kept at least until the person reaches normal retirement age or for 10 years if this is longer.

The LADO should keep comprehensive records in order to ensure that each case is being dealt with expeditiously and that there are no undue delays. The records will also assist the BSCB to monitor and evaluate the effectiveness of the procedures for managing allegations. The LADO should



monitor and record the progress of each case, either fortnightly or monthly depending on its complexity. This could be by way of review strategy discussions or direct liaison with the Police, Social Care, or employer, as appropriate. Where the target timescales cannot be met, the LADO should record the reasons.

If a Police investigation is to be conducted, the Police should set a date for reviewing its progress and consulting the CPS about continuing or closing the investigation or charging the individual. Wherever possible, this should be no later than 4 weeks after the strategy discussion. Dates for further reviews should also be agreed, either fortnightly or monthly depending on the complexity of the investigation.

Where a disciplinary investigation follows Police or Social Care enquiries, the subsequent decisions made by the employer must be brought back to a final strategy meeting. This is to ensure that any safeguarding issues have been brought to an appropriate resolution for each of the investigative processes engaged (i.e. criminal, child protection and disciplinary).

### **Instigating an investigation under disciplinary procedures**

If it is decided that a disciplinary investigation should take place, the Executive Principal, in consultation with the LADO and Human Resources Manager, should appoint someone to conduct the investigation.

A written record of the outcome of any disciplinary investigation must be retained indefinitely on the member of staff's personal and confidential file.

If the member of staff is dismissed, he/she should be informed about the employer's statutory duty to report their case to the DCSF Operations Unit, for consideration of debarring from further employment with children.

If the employee resigns before the disciplinary process is completed, the employer is not obliged to accept the resignation and appropriate attempts should be made to complete the process, so that the matter can be brought to a proper conclusion.

Where a pupil has made an allegation, a copy of the statement or the record made of it should be kept on the section of a pupil's file, which is not open to general disclosure, together with a written record of the outcome of the investigation. If there are related child protection concerns, records may be subject to disclosure; and, therefore, no assurances can be given regarding total confidentiality.

### **Issue an informal warning and/or professional advice**

Where it is considered appropriate to offer an informal warning or words of advice, consultation should take place with Human Resources.

- The member of staff should be informed orally and in writing. In advance of meeting the member of staff, they should be advised that they may be accompanied by a friend or union representative.
- A record of the decision and advice/warning given must be kept by all parties.





- Any additional guidance or training required should be recorded and acted upon.

### **No further action**

If it is decided that no further action should be taken, the Executive Principal, in consultation with the LADO and Human Resources Officers, should inform the member of staff orally and in writing confirming that no action under disciplinary or child protection procedures will be taken. In advance of meeting the member of staff, they should be advised that they may be accompanied by a friend or union representative:

- A record of this decision and the actions taken must be kept by all parties.
- Consideration should be given to the provision of support or counselling for the member of staff concerned.
- The Executive Principal, in consultation with the LADO should inform the child and Parents of the outcome. If dissatisfied, they should be advised of the Academy's or Council's Complaints Procedure.
- Consideration should be given to the provision of support for the child, and where appropriate, the parents.
- Where no further action has been decided because the allegation was demonstrably false and malicious intent was evidenced, a plan to address the child's behaviour should be agreed, with the involvement of those with parental responsibility.

### **Unsubstantiated and false allegations**

Where it is concluded that there is insufficient evidence to substantiate an allegation, the chair of the strategy discussion should prepare a separate report of the enquiry and forward this to the Executive Principal of the employer to enable her/him to consider what further action, if any, should be taken.

False allegations are rare and may be a strong indicator of abuse taking place elsewhere in a child's life, which requires further exploration. If an allegation is demonstrably false, the employer, in consultation with the LADO, should refer the matter to Social Care to determine whether the child is in need of services, or might have been abuse by someone else.

If it is established that an allegation has been deliberately invented, the Police should be asked to consider what action may be appropriate.

### **Referral to List 99, POCA List or Regulatory Body**

If the allegation is substantiated and the person is dismissed or the employer ceases to use the person's services, or the person resigns or otherwise ceases to provide his/her services, the LADO should discuss with the employer whether a referral should be made to the DfES List 99, Protection of Children Act List and/or a regulatory body e.g the GTC, GMC, GSCC.

In compiling a report for a barring or regulatory body, the employer will be offered guidance by the LADO in:



- Ensuring that wherever possible, the employer receives sufficient evidence from Social Care enquiries and Police investigations
- Assisting in the interpretation of outcomes and professional opinion
- Assisting in the identification of risks to children

If a referral is to be made it should be submitted within 1 month.

Consideration will then be given to whether the individual should be barred from, or have conditions imposed in respect of working with children.

### **Managing the Aftermath**

Whether an allegation has been founded, unfounded or unsubstantiated, a debriefing involving the Academy, LEA and where appropriate investigative agencies should take place.

The impact on individuals concerned and the general morale within the Academy should be considered so that additional supports can be put in place.

Risk assessments should also be considered in relation to any practices which have made either staff or children vulnerable.

For more detailed guidance on managing the aftermath of an allegation see [www.teachernet.gov.uk/docbank/index.dfm?id=6236](http://www.teachernet.gov.uk/docbank/index.dfm?id=6236)

### Contact Details

L.A.D.O. – 01628 683194  
Thames Valley Police – 0845 8 505 505 or 101  
Local Safeguarding Board – 01628 683234  
Email: [lscb@rbwm.gov.uk](mailto:lscb@rbwm.gov.uk)

### **Related policies**

Child Protection  
Capability of all Staff (with the Exception of Teachers)  
Teachers Performance Management and Capability  
Grievance  
Whistleblowing

---

The Governing Body approved this policy on date: **25<sup>th</sup> November 2016**

Signed:.....Chair of Governors

Signed:.....Executive Principal