



Allegation Management Policy and Procedure

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Table of Contents

- 1. Management of allegations against staff who work with children 2
- 2. General considerations relating to allegations against staff 4
- 3. Initial response to an allegation or concern 7
- 4. Disciplinary process 12
- 5. Record keeping and monitoring progress 13
- 6. Learning lessons 15

1. Management of allegations against staff who work with children

Despite all efforts to recruit safely there will be occasions when allegations of abuse against children are raised.

Local Safeguarding Children Boards (LSCBs) should have arrangements in place for monitoring and evaluating their effectiveness.

These procedures should be applied when there is an allegation or concern that any person who works with children, in connection with their 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 they may pose a risk of harm to children.

These bullet points reflect the statutory guidance in Working Together to Safeguard Children March 2015 para 4. Chapter 2, however 'Keeping Children Safe in Education September 2016' has a different wording in the third bullet.

These behaviours should be considered within the context of the 4 categories of abuse (i.e. physical, sexual and emotional abuse and neglect). These include concerns relating to inappropriate relationships between members of staff and children or young people, for example:

Having a sexual relationship with a child under 18 if in a position of trust in respect of that child, even if consensual (see ss16-19 **Sexual Offences Act 2003**);

'Grooming', i.e. meeting a child under 16 with intent to commit a relevant offence (see s15 **Sexual Offences Act 2003**);

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.

All references in this document to 'members of staff' should be interpreted as meaning all paid or unpaid staff and volunteers. This chapter also applies to any person, who manages or facilitates access to an establishment where children are present.

If concerns arise about the person's behaviour to her/his own children, the police and/or children's social care must consider informing the employer / organisation in order to assess whether there may be implications for children with whom the person has contact at work / in the organisation, in which case this procedure will apply.

Allegations of historical abuse should be responded to in the same way as contemporary concerns. In such cases, it is important to find out whether the person against whom the allegation is made is still working with children and if so, to inform the person's current employer or voluntary organisation or refer their family for assessment.

Roles and responsibilities

Our Chief Executive Officer, Antonia Dixey is the named senior officer with overall responsibility for:

- Ensuring that Participation People deals with allegations in accordance with these local Child Protection Procedures
- Resolving any inter-agency issues
- Liaising with the LSCB on the subject

Participation People will find out and record each local Designated Officer's contact details to:

- Receive reports about allegations and to be involved in the management and oversight of individual cases;
- Provide advice and guidance to employers and voluntary organisations;

- Liaise with the police and other agencies;
- Monitor the progress of cases to ensure that they are dealt with as quickly as possible consistent with a thorough and fair process;
- Provide advice and guidance to employers in relation to making referrals to the Disclosure and Barring Service (DBS) and regulatory bodies such as Ofsted, the GMC etc.

Participation People will support the police detective inspector on each child abuse investigation by:

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

Detailed guidance can be found for schools and all educational establishments in **Keeping Children Safe in Education: Statutory Guidance for Schools and Colleges (September 2016)**.

Additionally new statutory guidance has been issued '**Disqualification under the Childcare Act 2006**' (February 2015) which replaces the supplementary advice that was issued by the Department for Education on 10 October 2014.

2. General considerations relating to allegations against staff

Persons to be notified

Participation People must inform the Designated Officer within 24 hours, when an allegation is made and prior to any further investigation taking place.

The Designated Officer will advise the employer whether or not informing the parents of the child/ren involved will impede the disciplinary or investigative processes.

Acting on this advice, if it is agreed that the information can be fully or partially shared, the employer should inform the parent/s. In some circumstances, however, the parent/s may need to be told straight away (e.g. if a child is injured and requires medical treatment).

The parent/s and the child, if sufficiently mature, should be helped to understand the processes involved and be kept informed about the progress of the case and of the outcome where there is no criminal prosecution. This will include the outcome of any disciplinary process, but not the deliberations of, or the information used in, a hearing.

The employer should seek advice from the Designated Officer, the police and / or LA children's social care about how much information should be disclosed to the accused person.

Subject to restrictions on the information that can be shared, the employer should, as soon as possible, inform the accused person about the nature of the allegation, how

enquiries will be conducted and the possible outcome (e.g. disciplinary action, and dismissal or referral to the DBS or regulatory body).

The accused member of staff should:

- Be treated fairly and 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 should be informed of any allegation or concern made against a member of staff in any day care establishment for children under 8 or against a registered child minder. They should also be invited to take part in any subsequent strategy meeting / discussion.

LA children's social care should inform Ofsted of all allegations made against a foster carer, prospective adopter, or member of staff in a residential child care facility.

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 (where this would not place the child at further risk) up to date with 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.

Parents and carers should be made aware of the requirement to maintain confidentiality about any allegations made against teachers whilst investigations are on-going as set out in section 141F of the Education Act 2002 (see paragraph 164). If parents or carers wish to apply to the court to have reporting restrictions removed, they should be advised to seek legal advice.

The restrictions remain in place unless or until the teacher is charged with a criminal offence, though they may be dispensed with on the application to the Magistrates' Court by any person, if the court is satisfied that it is in the interests of justice to do so, having regard to the welfare of:

- The person who is the subject of the allegation
- The victim of the offence to which the allegation relates
- There is a right of appeal to the Crown Court

The reporting restrictions also cease to apply if the individual to whom the restrictions apply effectively waives their right to anonymity by going public themselves or by giving their written consent for another to do so or if a judge lifts restrictions in response to a request to do so.

The legislation imposing restrictions makes clear that "publication" of material that may lead to the identification of the Officer who is the subject of the allegation is prohibited. "Publication" includes "any speech, writing, relevant programme or other communication in whatever form, which is addressed to the public at large or any section of the public". This means that a parent who, for example, published details of the allegation on a social networking site would be in breach of the reporting restrictions (if what was published could lead to the identification of the teacher by members of the public).

Support

Participation People, together with LA children's social care and / or 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 their union or professional association.

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.

Suspension

Suspension is a neutral act and it should not be automatic. It should be considered in any case where:

- There is cause to suspect a child has suffered, or is likely to suffer significant harm
- The allegation warrants investigation by the police
- The allegation is so serious that it might be grounds for dismissal

The possible risk of harm to children 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.

If a strategy meeting / discussion is to be held or if LA children's social care or the police are to make enquiries, the Designated Officer should canvass their views on suspension and inform the employer.

Only Participation People however, has the power to suspend an accused employee and they cannot be required to do so by a local authority or police.

If a suspended person is to return to work, Participation People will consider what help and support might be appropriate (e.g. a phased return to work and/or provision of a mentor), and also how best to manage the member of staff's contact with the child concerned, if still in the workplace.

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 (i.e. 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 signs of organised or widespread abuse and/or the involvement of other perpetrators or institutions. They should consider whether the matter should be dealt with in accordance with complex abuse procedures which, if applicable, will take priority. See **Organised and Complex Abuse Procedure**.
Historical allegations should be responded to in the same way as contemporary concerns. 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. See **Historical Abuse Procedure**.

Whistle-blowing

All staff should be made aware of the organisation's whistle-blowing policy and feel confident 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, they should report the matter to the Designated Officer. See also **Local Safeguarding Children Boards Procedure**.

Timescales

It is in everyone's interest for cases to be dealt with expeditiously, fairly and thoroughly and for unnecessary delays to be avoided.

3. Initial response to an allegation or concern

An allegation against a member of staff may arise from a number of sources e.g. a report from a child, a concern raised by another adult in the organisation, or a complaint by a parent. It may also arise in the context of the member of staff and their life outside work or at home.

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.

They should not:

- Investigate or ask leading questions if seeking clarification;
- Make assumptions or offer alternative explanations;
- Promise confidentiality, but give assurance that the information will only be shared on a 'need to know' basis.

They should:

- Make a written record of the information (where possible in the child / adult's own words), including the time, date and place of incident/s, persons present and what was said
- Sign and date the written record
- Immediately report the matter to the designated senior manager, or the deputy in their absence or
- Where the designated senior manager is the subject of the allegation report to the deputy or other appropriate senior manager

Initial action by the designated senior manager

When informed of a concern or allegation, the designated senior manager should not investigate the matter or interview the member of staff, child concerned or potential witnesses.

They should:

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

The designated senior manager should refer the allegation to the Designated Officer and their team and discuss the decision in relation to the agreed threshold criteria in **The management of allegations against staff or volunteers who work with children** within one working day.

Referrals should not be delayed in order to gather information and a failure to report an allegation or concern in accordance with procedures is a potential disciplinary matter.

If an allegation requires immediate attention, but is received outside normal office hours, the designated senior manager should consult the LA children's social care emergency duty team or local police and inform the Designated Officer as soon as possible.

If a police officer receives an allegation, they should, without delay, report it to the designated detective sergeant on the child abuse investigation team (CAIT). The detective sergeant should then immediately inform the Designated Officer. Similarly an allegation made to LA children's social care should be immediately reported to the Designated Officer and their team.

Initial consideration by the designated senior manager and the Designated Officer

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

- A police investigation of a possible criminal offence;
- LA Children's social care enquiries and/or assessment about whether a child is in need of protection or services;
- Consideration by an employer of disciplinary action in relation to possible performance/conduct issues.

The Designated Officer and the designated senior manager 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 the child is not confused as to dates, times, locations or identity of the member of staff.

If the allegation is not demonstrably false and there is cause to suspect that a child is suffering or is likely to suffer significant harm, the Designated Officer should convene an immediate strategy meeting / discussion.

The police must be consulted about any case in which a criminal offence may have been committed. If the threshold for significant harm is not reached, but a police investigation might be needed, the Designated Officer should immediately inform the police and convene an initial evaluation meeting (similar to strategy meeting / discussion), to include the police, employer and other agencies involved with the child.

References in this document to 'strategy meetings / discussions' should be read to include 'Initial evaluation meetings' where appropriate.

Strategy meeting / discussion

Wherever possible, a strategy meeting / discussion / initial evaluation should take the form of a meeting. However, on occasions a telephone discussion may be justified.

The following is a list of possible participants:

- The Designated Officer
- Designated Officer (D.O.) to chair (if a strategy meeting)
- Relevant social worker and their manager
- Detective sergeant

- The Designated and/or named Safeguarding Children Health Professional (CCG); and always when an allegation concerns a health agency worker /professional
- Consultant paediatrician
- Designated senior manager for the employer concerned
- Human resources representative
- Legal adviser where appropriate
- Senior representative of the employment agency or voluntary organisation if applicable
- Manager from the fostering service provider when an allegation is made against a foster carer
- Supervising social worker when an allegation is made against a foster carer
- Those responsible for regulation and inspection where applicable (e.g. CQC, GMC or Ofsted)
- Where a child is placed or resident in the area of another authority, representative/s of relevant agencies in that area
- Complaints officer if the concern has arisen from a complaint

The strategy meeting / discussion / initial evaluation should:

- Decide whether there should be a s47 enquiry and / or police investigation and consider the implications;
- 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 93, Education and Inspections Act 2006** in respect of teachers and authorised staff);
- Consider whether a complex abuse investigation is applicable (see **Organised and Complex Abuse Procedure**);
- Plan enquiries if needed, allocate tasks and set timescales;
- Decide what information can be shared, with whom and when.

The strategy meeting / discussion / initial evaluation should also:

- Ensure that arrangements are made to protect the child/ren involved and any other child/ren affected, including taking emergency action where needed;
- 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 and how they will be kept up to date with the progress of the investigation;
- Ensure that investigations are sufficiently independent;
- Make recommendations where appropriate regarding suspension, or alternatives to suspension;
- Identify a lead contact manager within each agency;
- Agree protocols for reviewing investigations and monitoring progress by the Designated Officer, having regard to the target timescales;

- Consider issues for the attention of senior management (e.g. media interest, resource implications);
- Consider reports for consideration of barring;
- Consider risk assessments to inform the employer's safeguarding arrangements;
- Agree dates for future strategy meetings / discussions.

A final strategy meeting / discussion / initial evaluation should be held to ensure that all tasks have been completed, including any referrals to the DBS if appropriate, and, where appropriate, agree an action plan for future practice based on lessons learnt. The strategy meeting / discussion / initial evaluation should take into account the following definitions when determining the outcome of allegation investigations:

- **Substantiated:** there is sufficient evidence to prove the allegation;
- **Malicious:** there is sufficient evidence to disprove the allegation and there has been a deliberate act to deceive;
- **False:** there is sufficient evidence to disprove the allegation;
- **Unsubstantiated:** this is not the same as a false allegation. It means that there is insufficient evidence to prove or disprove the allegation; the term therefore does not imply guilt or innocence;
- **Unfounded:** there is no evidence or proper basis, which supports the allegation being made. It might also indicate that the person making the allegation misinterpreted the incident or was mistaken about what they saw. Alternatively they may not have been aware of all the circumstances. There was no evidence that a child/children had been harmed but there were concerns regarding performance/conduct and these should be addressed by Participation People.

Allegations against staff in their personal lives

If an allegation or concern arises about a member of staff, outside of their work with children, and this may present a risk of harm to child/ren for whom the member of staff is responsible, the general principles outlined in these procedures will still apply. The strategy meeting / discussion should decide whether the concern justifies:

- Approaching the member of staff's employer for further information, in order to assess the level of risk of harm; and / or
- Inviting the employer to a further strategy meeting / discussion about dealing with the possible risk of harm.
- If the member of staff lives in a different authority area to that which covers their workplace, liaison should take place between the relevant agencies in both areas and a joint strategy meeting / 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 of harm to child/ren for whom the member of staff is responsible. In these circumstances, a strategy meeting / discussion should be convened to consider:

- The ability and/or willingness of the member of staff to adequately protect the child/ren;
- Whether measures need to be put in place to ensure their protection;
- Whether the role of the member of staff is compromised.

4. Disciplinary process

Disciplinary or suitability process and investigations

The Designated Officer and the designated senior manager should discuss whether disciplinary action is appropriate in all cases where:

It is clear at the outset or decided by a strategy meeting / discussion that a police investigation or LA children's social care enquiry is not necessary; or

The employer or the Designated Officer is informed by the police or the Crown Prosecution Service that a criminal investigation and any subsequent trial is complete, or that an investigation is to be closed without charge, or a prosecution discontinued.

The discussion should consider any potential misconduct or gross misconduct on the part of the member of staff, and take into account:

- Information provided by the police and / or LA children's social care
- The result of any investigation or trial
- The different standard of proof in disciplinary and criminal proceedings

In the case of supply, contract and volunteer workers, normal disciplinary procedures may not apply. In these circumstances, the Designated Officer 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. See **Substantiated allegations and referral to the DBS**.

If formal disciplinary action is not required, Participation People will institute appropriate action within 3 working days. If a disciplinary hearing is required, and further investigation is not required, it should be held within 15 working days. If further investigation is needed to decide upon disciplinary action, the employer and the Designated Officer should discuss whether the employer has appropriate resources or whether the employer should commission an independent investigation because of the nature and/or complexity of the case and in order to ensure objectivity. The investigation should not be conducted by a relative or friend of the member of staff.

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. Its purpose is not to prove or disprove the allegation.

If, at any stage, new information emerges that requires a child protection referral, the investigation should be held in abeyance and only resumed if agreed with LA children's social care and the police. Consideration should again be given as to whether suspension is appropriate in light of the new information.

The investigating officer should aim to provide a report within ten working days. On receipt of the report the employer should decide, within two working days, whether a disciplinary hearing is needed. If a hearing is required, it should be held within 15 working days.

Sharing information for disciplinary purposes

Wherever possible, police and LA children's 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.

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 and the Designated Officer straight away so that appropriate action can be taken.

5. Record keeping and monitoring progress

Record keeping

Participation People will 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 longer.

The purpose of the record is to enable accurate information to be given in response to any future request for a reference if the person has moved on. It will provide clarification where a future DBS request reveals non convicted information, and will help to prevent unnecessary reinvestigation if an allegation re surfaces after a period of time. In this sense it may serve as a protector to the individual themselves, as well as in cases where substantiated allegations need to be known about to safeguard future children.

Details of allegations that are found to be malicious should be removed from personnel records.

For education services see the DfE statutory guidance **Keeping Children Safe in Education: Statutory Guidance for Schools and Colleges**, which has been updated and was implemented in September 2016.

Monitoring progress

The Designated Officer 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 meetings / discussions / initial evaluations or direct liaison with the police, LA children's social care, or employer, as appropriate. Where the target timescales cannot be met, the Designated Officer should record the reasons.

The Designated Officer 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 LSCB to monitor and evaluate the effectiveness of the procedures for managing allegations and provide statistical information to the **Department for Education (DfE)** as required.

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 four weeks after the strategy meeting / discussion / initial evaluation. Dates for further reviews should also be agreed, either fortnightly or monthly depending on the complexity of the investigation.

Where it is concluded that there is insufficient evidence to substantiate an allegation, the Chair of the strategy meeting / discussion or initial evaluation should prepare a separate report of the enquiry and forward this to the designated senior manager of the employer to enable them to consider what further action, if any, should be taken. False allegations are rare and may be a strong indicator of abuse elsewhere which requires further exploration. If an allegation is demonstrably false, the employer, in consultation with the Designated Officer, should refer the matter to LA children's social care to determine whether the child is in need of services, or might have been abused 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.

Substantiated allegations

The **Disclosure and Barring Service (DBS)** was established under the Protection of Freedoms Act 2012 and merges the functions previously carried out by the Criminal Records Bureau (CRB) and Independent Safeguarding Authority (ISA). The relevant legislation is set out in the **Protection of Freedoms Act 2012**.

There is a legal requirement for Participation People to make a referral to the DBS where they think that an individual has engaged in conduct that harmed (or is likely to harm) a child; or if a person otherwise poses a risk of harm to a child.

If an allegation is substantiated and the person is dismissed or the employer ceases to use the person's service or the person resigns or otherwise ceases to provide his/her services, the Designated Officer should discuss with the employer whether a referral should be made to the Disclosure and Barring Service (DBS).

If a referral is to be made; it should be submitted within 1 month of the allegation being substantiated.

Legal duty to refer and power to refer

See the **DBS referral guidance and tools**.

The following groups have **legal duty to refer** information to the DBS:

Regulated activity suppliers (employers and volunteer managers);

Personnel suppliers that may be an employment agency, employment business or an educational institution.

The following groups have a **power to refer** information to the DBS:

The power to refer may be used when a local authority or regulatory body is acting in a role other than as a regulated activity provider, for example when undertaking a safeguarding role.

Local authorities;

A Health and Social care (HSC) trust;

Keepers of registers e.g. General Medical Council, Nursing and Midwifery Council, HCPC in England, Wales and Northern Ireland;

Supervisory authorities e.g. Care Quality Commission, Ofsted in England, Wales and Northern Ireland.

If the person being referred to the DBS is a teacher in England they should also be referred to the **National College for Teaching and Leadership**. This is part of the Department for Education, responsible for the regulation of teachers in respect of serious misconduct.

When an organisation is considering exercising the power to refer it should make sure that the referral is compliant with the Data Protection Act 1998 and human rights legislation. The organisation should seek legal advice if necessary.

Whenever a local authority refers a person to the DBS, they must consider whether they are doing so under the duty to refer or their power to refer.

6. Learning lessons

Participation People and the Designated Officer should review the circumstances of the case to determine whether there are any improvements to be made to the organisation's procedures or practice.

Date reviewed: 21 January 2021

Date next reviewed: 21 January 2022