

**Outcomes
First
Group.**

Acorn Education **Momenta Connect** **Options Autism**

MANAGING ALLEGATIONS AGAINST EMPLOYEES POLICY & PROCEDURE

 MANAGING ALLEGATIONS AGAINST AN EMPLOYEE

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1.0 INTRODUCTION

Outcomes First Group expects high standards of conduct by employees to provide safe and effective education, support and care for our children, young people and adults. The Group recognises the importance of ensuring that the correct processes are followed as soon as an allegation is made, which supports the investigation process and protects all those involved. The Group will always act in the best interests of our children, young people and adults when managing allegations.

This policy must be read alongside the:

- Safeguarding Policy
- Code of Conduct & Ethics Policy
- Disciplinary Policy and Procedure
- Grievance Policy
- Whistleblowing Policy
- Data Protection Policy
- Escalation Policy
- Sexual Harassment Prevention and Action Policy and Procedure

It should also be read in conjunction with the appropriate Local Authority's Managing Allegations procedures.

National legislation and statutory guidance will always be adhered to, including but not limited to:

- [Care and Support Statutory Guidance \(updated November 2022\)](#),
- [Keeping Children Safe in Education \(2024\)](#)
- [Working together to safeguard children \(2024\)](#)
- The Wales Safeguarding Procedures [Safeguarding Wales](#) and
- [Children \(Scotland\) Act 2020](#) and [Getting it right for every child \(GIRFEC\)](#)

Please note that legislation and statutory guidance always supersede this policy.

The procedures set out in this document are for managing any allegations against employees, including bank workers, within Outcomes First Group. These include where concerns are raised that an employee has acted against the Group's Code of Conduct & Ethics Policy, that they may pose a risk to children, young people or adults, or that they may be harming them. Any failure to follow this procedure may be dealt with under the Group's Disciplinary Policy.

MANAGING ALLEGATIONS AGAINST AN EMPLOYEE**2.0 POLICY IMPLEMENTATION**

The procedure outlined in this policy should be applied if an allegation is made about an employee(s) which may indicate that they have acted against the Group's Code of Conduct & Ethics Policy, behaved in a way that has put a child, young person or adult at risk of harm or could have put them at risk of harm, or possibly committed a criminal offence. This can include behaviour in their personal life that raises concerns.

- 2.1 If the information received indicates that a crime may have been committed, this must be passed immediately to the police, regardless of whether the person making the complaint wishes to formally inform the police, as well as reported through the internal process.
- 2.2 Relationships and communication with partner agencies must be ones of openness and transparency. Information must always be shared with appropriate partner agencies when allegations have been made. **Data protection is not a barrier for sharing safeguarding information.** Employee(s) are required to be proactive in sharing information as soon as possible when it is in relation to a person's safety or wellbeing.
- 2.3 The Human Resources (HR) Operations Advisors must have oversight of all allegations made against employees, where the allegation is related to safeguarding the Director of Safeguarding/Safeguarding Advisor must also have oversight. This means that following initial decision-making and consultation with other agencies, and **within 24 hours** all allegations must be notified to hroperationsadvice@ofgl.co.uk, and safeguarding@ofgl.co.uk for all allegations involving a safeguarding concern.
- 2.4 The Senior Leader or Regional Director for the setting in which the allegation has occurred will have full management responsibility for the allegations.
- 2.5 The Director of Safeguarding/ Safeguarding Adviser will offer support, advice and guidance to Senior Leaders, Regional Directors and the HR Operations Advice Team when managing allegations involving safeguarding concerns.
- 2.6 The assigned HR Operations Adviser will be responsible for advising on all aspects of Human Resources from a business and employee relations perspective.
- 2.7 The Director of People Services, Group Director of Quality and the appropriate Managing Director will have full oversight of any serious allegations which potentially have significant implications for the safety and wellbeing of children, young people and adults we educate, support and care for.
- 2.8 Safeguarding processes and procedures must take precedence over other disciplinary processes. However, it is recognised that there may be occasions when the two processes can run alongside one another. Safeguarding allegations must be investigated first and foremost, prior to any other practice or conduct issues being investigated.
- 2.9 All employees have access to a confidential and anonymous whistleblowing facility [Safecall](tel:08009151571) 0800 915 1571, email outcomesfirstgroup@safecall.co.uk. Please see the Group's Whistleblowing policy.

3.0 THE PROCEDURE

- 3.1 **Within one hour** of an allegation or concern being raised regarding an employee, this must be reported to the line manager(s) with responsibility for the employee(s). If the concern is regarding a line manager, then the person must raise the concern with the named person of the Senior Leadership Team who oversees that manager.

If the concern involves a member of the Senior Leadership Team, then it must be reported to the Managing Director, Director of Quality and, if involving a safeguarding concern, the Director of Safeguarding.

MANAGING ALLEGATIONS AGAINST AN EMPLOYEE

- 3.2** If the allegation or concern relates to a serious incident of harm, such as a serious physical assault or sexual assault/abuse or harassment, this must be immediately referred to the police and the appropriate Regional Director. The matter should also be reported to safeguarding@ofgl.co.uk and hroperationsadvice@ofgl.co.uk. The HR Operations Advisor will immediately inform the Director of People Services, Director of Quality and the Managing Director. In cases where there may be possible media attention, the HR Operations Advisor will also inform the Group's Commercial Director.
- 3.3** All allegations that involve any safeguarding concerns must be reported by the operational Senior Leader or Designated Safeguarding Lead to the Local Authority, their Designated Officer or equivalent/ Social Work Access Team (Scotland), on the **same working day**.

Please follow the appropriate procedures outlined in legislative and statutory guidance to inform local authorities and other professionals. It is the responsibility of the Headteacher, Registered Manager or equivalent to ensure that they are familiar with, and act in accordance with the Local Authority Safeguarding Procedures as detailed on the Local Safeguarding Partnership website for that area. Compliance with Local Safeguarding Procedures must always take priority.

- 3.4** At the earliest possible stage, the operational safeguarding decision-maker should consider the following:
- The safety and welfare of any child, young person or adult involved, and consider any support which may be required;
 - What support may be required for the employee(s) who have made the allegation and any other employees involved;
 - What support may be required for the employee(s) about whom the allegation is made;
 - Whether the employee(s) can be maintained in their role safely during the investigation, subject to a risk assessment.
 - In cases where there is police involvement or a likelihood of a police investigation, consider whether the employee should be suspended without prejudice, pending an investigation.

3.5 Suspension

When considering suspension, it is important to consider the possible risk of harm to other children, young people or adults who the Group is responsible for, as well as safeguarding the employee/s. Consideration must be given as to whether it is safe for the employee(s) to have continued access to children, young people or adults, and whether the potential risk can be managed.

Suspension can only be approved by the Regional Director following consultation with HR and, if the allegation is related to a safeguarding matter, the Director of Safeguarding/Safeguarding Advisor. Please refer to the Group's Disciplinary Policy.

If the allegation or safeguarding concern relates to a serious incident of harm, such as a serious physical assault, physical abuse, sexual assault, sexual harassment or sexual abuse, suspension must be considered without prejudice, pending further investigation in line with the disciplinary procedure.

A Suspension Notification Form must be completed by the HR Operations Advisor when a decision has been made to suspend by the Regional Director. This must include details of the consultation and decision making process. The HR Operations Advisor will send copies to the Regional Director, Headteacher or Head of Service/ Head of Care as applicable.

Please refer to Appendix 1 Manager's' Guidance – Suspension. For further guidance when considering a risk assessment or suspension information is available on the ACAS website: <https://www.acas.org.uk/suspension>

In the event that there is a difference of opinion at the suspension meeting. The Group's Escalation Policy must be followed.

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A welfare officer will be appointed to retain contact with the employee(s) during suspension. Please refer to the welfare support guidance available by contacting your HR Operations Advisor. Where an employee has raised a sexual harassment allegation they will also be provided with a welfare officer.

The HR Operations Advisor will liaise with the Information Technology department to ensure that all electronic devices and access to emails are locked. Where necessary, arrangements will be made for any electronic devices to be returned during the suspension period. This includes work laptops, computers, mobile phones and any other device provided.

The HR Operations Advisor will also inform the HR Systems Team to ensure the suspension is recorded on the HR system.

3.6 Employee(s) remain in post

If a decision is made that the employee(s) can remain in their place of work safely, a risk assessment must be completed on the same working day as the allegation is made. Please refer to the group Allegations Risk Assessment template for more guidance if required. (See appendix 2)

All risk assessments must be signed off by the line Manager and the Headteacher/Head of Service or Care/Registered Manager as applicable, and the Regional Director.

3.7 Fact Finding and Investigations

Initial fact finding may be carried out, unless it is a serious safeguarding concern in which case the police must be notified immediately. However, during the fact finding stage the concern or allegation must not be shared with any employee(s). The HR Operations Advisor Director and Safeguarding/Group Safeguarding Adviser will provide advice and guidance as to how to undertake the fact find if required.

Where an employee(s) has had three investigations or more in a 12-month period, this will be raised by the HR Operations Advisor to the Headteacher/ Head of Service or Registered Manager as appropriate and the Regional Director to complete a review of the investigations, themes, patterns and trends.

3.8 Notification to authorities and regulators

All placing authorities and families (where appropriate) must be notified of any allegations **within one working day**. It is the responsibility of the line manager of the employee(s), about whom an allegation is made, to ensure that placing authorities and families are updated as to the allegation and subsequent investigation, including feeding back the outcome of any investigation.

Within **one working day** of the allegation being made, the following information should be forwarded to hroperationsadvice@ofgl.co.uk, and safeguarding@ofgl.co.uk if it involves a safeguarding concern.

- The original incident report or record made of the disclosure, allegation, concern or complaint.
- A copy of the referral form or correspondence with Local Authority Designated Officer or local equivalent, including details of their decision-making if available.
- The risk assessment that has been put in place or confirmation of suspension (with Regional Director approval only)
- The proposed Independent Investigating Officer (if known)
- Any other information or areas that you require advice/guidance on.

Residential services must notify the appropriate regulatory body for their setting (e.g. Ofsted, Care Quality Commission, Care Inspectorate Wales, Scottish Social Services Council (SSSC), Health & Care Professions Council (HCPC)) and for all allegations made against employee(s).

MANAGING ALLEGATIONS AGAINST AN EMPLOYEE**3.9 Progress Updates**

It is the responsibility of the operational senior leader receiving the allegation or concern to ensure that they provide weekly updates to the HR Operations Advisor via email to hroperationsadvice@ofgl.co.uk

It is the responsibility of the operational senior leader to frequently check the progress of the matter with the police or other investigating bodies, to monitor the length of time an employee is suspended.

At any stage during the process the operational senior leader can seek advice and guidance from their Regional Director, the Director of Safeguarding/Group Safeguarding Adviser and the HR Operations Advisor. It may be appropriate for any party to convene an urgent conference call to discuss the actions that need to be taken and to make decisions in a timely manner.

4.0 WHAT HAPPENS NEXT**4.1 Instances where the police have been informed**

In instances where the police have been informed of a safeguarding concern or allegation, all other processes such as disciplinary processes, should cease until the police state that they have finished their own investigation.

All attempts must be made to fully cooperate with any police investigation. Communication must be open and transparent, with information being fully shared so as to support the police in their duty to investigate. Line managers must maintain regular contact with the police in order to check on progress and where possible, reduce the length of time an employee is suspended.

Written confirmation must be received from the police after their investigation has finished and prior to any internal investigation starting. If an employee has breached procedures in any other manner which is not a safeguarding concern, the line manager can discuss whether an investigation into this can take place separately from the safeguarding investigation.

4.2 Instances where the Local Authority Designated Officer or local equivalent

Where the Local Authority Designated Officer or local equivalent, has stated that an external investigation is to be carried out by the police and/or the Local Authority, no other investigations must be carried out. It is the Headteacher's/Registered Manager's responsibility to ensure that they fully cooperate and support the police and/or Local Authorities with their investigations.

Where the Local Authority Designated Officer or local equivalent states that an internal investigation can be carried out, this should be confirmed in writing. The operational senior leader or Designated Safeguarding Lead should e-mail hroperationsadvice@ofgl.co.uk to provide all of the above information detailed in 3.8.

The allocated HR Operations Advisor will review the actions taken, in consultation with safeguarding and agreement will be made as to who will be appointed to investigate the safeguarding concern or allegation.

4.3 The Independent Investigating Officer

The Independent Investigating Officer should be someone who is considered completely impartial and with no prior involvement or line management responsibilities in the matter being investigated. It is important to consider pre-existing relationships and whether someone can remain truly impartial if they have already formed an opinion of the person being investigated. In many cases, there are sufficient resources across the group to appoint an independent person. This is particularly important where the matter is serious or complex.

In some cases, it may be that a person internal to the service has already completed initial fact-finding actions and can reasonably and swiftly continue the investigation. Where matters are less serious or complex this may be appropriate.

MANAGING ALLEGATIONS AGAINST AN EMPLOYEE

The proposed investigating officer should have completed the Employee Relations training – Part 1 (What you need to know) and Part 2 (Putting it into practice), unless authorised by a Managing Director to proceed without completing this training in limited circumstances. You can check whether an employee has received this training by contacting the HR Operations Advisors.

It is the responsibility of the person completing the investigation to refer any other safeguarding information which arises within the investigation to the Local Authority Designated Officer or local equivalent.

4.4 Internal Investigation

Investigations must include: interviewing the employee about whom the safeguarding concern or allegation relates to, interviewing key witnesses (children, young people and adults), reading any relevant documentation, visiting sites or areas of interest and ensuring that the procedure and process regarding disciplinary is adhered to including the completion of an investigation report.

Investigations must be written on the Outcomes First Group's investigation template (see appendix 3). Conclusions and recommendations must be made based on the factual evidence collated as part of the investigation. The investigation report must make a recommendation as to whether there is a case to answer and whether it will progress to a disciplinary hearing. Investigation reports can make recommendations regarding changes to processes or further management review(s) required. It is the responsibility of the disciplining officer and their HR Operations Advisor to inform the Senior Leader of the setting or Regional Director of the outcome.

The Independent Investigating Officer investigator must provide weekly updates as they investigate to hroperationsadvice@ofgl.co.uk. The completed draft investigation report must be submitted to the HR Operations Advisor, who will quality assure the document, checking the clarity of the information included and ensuring that it adheres to the template. The HR Operations Adviser will consult with the Director of Safeguarding/Safeguarding Advisor if required

The HR Operations Advisor will respond to confirm that the matter will proceed to the next stage of the process. The HR Operations Advisor will distribute the final report to the Line Manager of the employee concerned and the senior leader of the setting/service.

The outcome of the investigation must be communicated to the Local Authority Designated Officer or local equivalent (if required) or nation's equivalent officer and the placing authority or family (if appropriate) within one working day of the investigation being completed.

If the Local Authority Designated Officer or local equivalent states that there is no further action from their perspective, the matter must still be internally investigated. If during the course of the fact finding, it becomes apparent that there are no concerns, the investigating officer must complete the report and ensure the full process is followed.

If the employee resigns prior to the end of the investigation and disciplinary process, the process must still be followed including convening a disciplinary meeting and ensuring that any actions such as referrals to the Disclosure and Barring Service/Disclosure Scotland and/or appropriate professional registration bodies are completed. Compromise dismissals will not occur when there are safeguarding concerns or allegations.

All allegations and investigations will be monitored by the HR Operations Advisors, allegations and investigations involving safeguarding concerns will also be monitored by the Director of Safeguarding/Group Safeguarding Advisor. The Group Director of Quality will have oversight of the most serious allegations through a monthly monitoring report.

MANAGING ALLEGATIONS AGAINST AN EMPLOYEE**5.0 REFERRALS TO EXTERNAL BODIES****5.1 Disclosure and Barring Service (DBS) / Disclosure Scotland**

If an employee is dismissed from employment due to a safeguarding concern or allegation, a referral to the Disclosure and Barring Service/ Disclosure Scotland must be made. It is an offence not to make a disclosure referral.

At the point of completion of such a referral, managers must notify safeguarding@ofgl.co.uk and hroperationsadvice@ofgl.co.uk of the referral and any other possible referrals to any relevant professional body.

5.2 Professional registrations

Some employees hold professional registration with other external bodies. It may be appropriate to refer an employee who is subject to an investigation about their conduct to an external body at the start of the process, during the process or when it has concluded. Senior leaders must familiarise themselves with any professional registrations required and/or held by employees, ensuring they are clear on the individual 'fitness to practice' processes that apply to that particular professional body, the threshold within which to refer and at what stage they require referral.

Leaders must have due regard to the information sharing and referral requirements of any organisations relevant to their setting. The following information is not exhaustive but provides a general overview of registered professionals which differ by nation:

- Education leaders and teachers are registered with the Teaching Regulation Authority (England and Wales) or the General Teaching Council for Scotland.
- Healthcare professionals usually hold registration with the Nursing and Midwifery Council, or the Health Care Professions Council, which Clinical Psychologists are also usually registered with. Doctors are registered with the General Medical Council.
- There are a variety of organisations that counselling and therapeutic practitioners can be registered with, including the British Association for Counselling and Psychotherapy or the National Counselling Society.
- Social Workers in England hold professional registration with Social Work England. In Wales, Social Workers and Social Care professionals, which includes employees working in residential care settings, are required to register with Social Care Wales. In Scotland, registration for similar roles is required with the Scottish Social Services Council (SSSC). In Northern Ireland, Social Workers are registered with The Northern Ireland Social Care Council (NISCC).
- Registered Managers of social care settings are registered with Ofsted, CQC, Social Care Wales or Scottish Social Services Council. Formal notification must be made in the event of any allegation against a Registered Manager and if suspension has been necessary, the relevant regulatory body must be informed of the arrangements to ensure that safe and effective care of the children or adults in the home continues while the matter is investigated.

5.3 Auditing and Reporting

The Director of Safeguarding is responsible for auditing the referral process on a monthly basis to ensure it has been conducted appropriately. A report outlining all dismissals and subsequent referrals is sent to the Group Director of Quality and Director of Peoples Services.

All records relating to the investigation, disciplinary process, appeal and subsequent referrals to the DBS/Disclosure Scotland and/or professional body must be shared with the HR Operations Advisor, who will ensure they are stored securely. All information must be retained on the employee's personnel files.

MANAGING ALLEGATIONS AGAINST AN EMPLOYEE**6.0 LEARNING FROM ALLEGATIONS AND CONCERNS**

The Investigating Officer will identify any individual, local or national learning from the incident or allegation. This will be clearly outlined in the investigation report.

All investigation and disciplinary reports/packs once completed to be sent to the Line Manager of the employee concerned and the Headteacher/Head of Service or equivalent following HR Operations Advisor review, in order for any recommendations to be carried out.

The senior leader at the setting i.e. Headteacher, Head of Service, Registered Manager, will become accountable for ensuring the recommendations are implemented, recorded and reviewed.

The senior leader should implement local and individual learning **within 7 days**. The Director of Safeguarding will ensure that any published national learning is communicated and disseminated across the group and through the relevant safeguarding forums.

7.0 COMPLAINTS

The Group recognises that it can be a distressing time for employees who have had allegations made against them. Support will be provided which will include weekly welfare calls. However, the appointed welfare officer must not share details of the investigation without express consent. Employees can access a counselling service to provide them with further support. See the Guide to dealing with allegations and safeguarding concerns for further details.

All efforts must be made to ensure that rigorous timescales for the completion of investigations are adhered to.

If an employee is unhappy with the way in which a safeguarding concern or allegation is being managed or investigated, they are able to complain to the investigating officer.

APPENDIX 1 – MANAGERS GUIDANCE - SUSPENSION

MANAGERS GUIDANCE – SUSPENSION

Please refer to the Group Disciplinary Policy and procedure and liaise with a member of the HR team if considering suspending an employee.

The Group reserves the right to suspend an employee pending an investigation and hearing relating to any alleged disciplinary offence(s) where it is felt that the employee's continued presence in the business may hinder an investigation or pose a risk.

When the Group considers suspension, a point of consideration is the possible risk of harm to the children, young people and adults we are responsible for; as well as safeguarding the employee(s), about whom an allegation has been made. Consideration must be given as to whether it is safe for the employee(s) to have continued access to children, young people and adults and whether the potential risk can be managed.

When considering suspension as an option, a meeting should take place with Human Resources and Safeguarding and **must always be signed off by the Regional Director**.

SUSPENSION CONSULTATION MEETING

A meeting will be held with Regional Director/Headteacher/Head of Service or equivalent/ HR, in consultation with Safeguarding where required, to decide whether suspension is the appropriate and only outcome.

Other options for consideration

- **Change working pattern/shifts** - to be signed off by the line Manager, Headteacher, Head of Service or equivalent.
- **Work from home** - to be signed off by the line Manager, Headteacher, Head of Service or equivalent.
- **Work from a different office or site** - to be signed off by the line Manager, Headteacher, Head of Service or equivalent.
- **Revised duties** - to be signed off by the line Manager, Regional Manager, Head of Service or equivalent.

A risk assessment must be implemented and signed-off by the line Manager, Regional Manager, Head of Service or equivalent if putting any of these options into place.

BEFORE THE SUSPENSION MEETING WITH THE EMPLOYEE

The person completing the suspension, usually the line manager, will issue a letter that is prepared with the support of the HR Operations Adviser, advising the employee of the suspension and the terms of the suspension.

DURING THE SUSPENSION MEETING WITH THE EMPLOYEE

HR will provide a script or wording to ensure the required information is covered:

- **Notes** - Explain that notes will be taken during the meeting to record the contents of the discussion.
- **Explain the reasons for suspension** – explain to the employee why you are suspending them i.e. suspended on full pay pending an investigation into alleged gross misconduct.
- **Explain the terms of suspension:**
 - The employee must return any keys and equipment to their line manager.
 - The employee must remain available for work during your normal working hours should they be required to attend any investigation meetings.

MANAGING ALLEGATIONS AGAINST AN EMPLOYEE

- The employee cannot perform work for any other employee or undertake self-employment during their normal working hours.
- They must not contact by any means (directly or indirectly) any employees at the site or across the organisation or any partners/clients of the organisation, with the exception of line manager, HR or their welfare contact.
- The employee must refrain from attending any premises within the Group during this period of suspension.
- The employee must notify their line manager should they fall ill or are incapacitated and provide appropriate evidence of incapacity in accordance with the sickness absence provisions in their contract of employment.
- The employee would need to apply for annual leave, should they wish to take it, in accordance with the holiday's provisions in their contract or employment.
- The welfare support available to the employee must be explained.
- Issue the employee with a letter confirming the above.
- Period of Suspension - Inform the employee that we will endeavor to ensure that the suspension is kept to a minimum. However, Where a safeguarding concern is being investigated by an external provision, the Company may be restricted in starting an internal investigation until permitted to do so by the provision.
- Payment whilst on suspension – Whilst the employee is on suspension they will be on full pay.
- Confidentiality – Ensure that the employee is aware that the contents of the suspension meeting are strictly private and confidential and must not be shared with anyone else.

APPENDIX 2 - ALLEGATIONS RISK ASSESSMENT

Risk Assessment Description/Title	Assessment Details	
Allegation of (Insert short description) in relation to (Insert employee's name)	Assessor name:	
	Name of employee subject to risk assessment:	
	Initials of child, young person or adult (if appropriate)	
	Assessment date:	
	Date shared with employee:	
	Review Date:	

Ref	Tasks/Issues	Risk Level (High, Medium or Low)	Who is at Risk?	Safety Measures (Amend/Delete as appropriate)	Action Required
1.	Does the allegation indicate any risk posed to children, young people or adults from the subject of the allegation?			<ul style="list-style-type: none"> • Lone working to be prevented • Change of shift to be implemented • Additional supervision measures (Please name them) 	
2.	Risk of further allegations towards (Insert name of employee) or other employees			<ul style="list-style-type: none"> • Consider if children or adults will be alone with other members of the team • Staffing ratio to be increased • Schools only – Lunchtimes and other unstructured periods • Personal care (if appropriate) 	

3.	Physical contact between young people/adults and (Name of t employee)			<ul style="list-style-type: none"> • Restrict or limit possibility of physical intervention • Ensure that where physical intervention may be required there are other employees available (Insert details). 	
4.	Risks posed to other children and young people or adults in the setting			<ul style="list-style-type: none"> • Consider whether the incident has resulted in an increased risk to other children/adults in the setting. • Does the child or adults involved require enhanced supervision or support levels. 	
5.	Welfare of the employee			<ul style="list-style-type: none"> • Confirmation that there are no fitness to practice issues and they can continue to work. • Any other welfare considerations to be identified here. 	
6.	Increased risk when driving			<ul style="list-style-type: none"> • Restriction on use of company vehicles while the matter is investigated. • Other measures to be taken during transportation of young people or adults. 	
7.	Increased risk when administering Medication			<ul style="list-style-type: none"> • Other employees to undertake these duties. • Increased level of supervision while undertaking these duties (Please name) 	

8.	Contact with parent, carer or family of the child/young person or adult			<ul style="list-style-type: none">• No contact without express consent of the head teacher or registered manager.• Contact to be limited to (Insert details)	
9.	Prejudice of the investigation or enquiry			<ul style="list-style-type: none">• (Name of employee) must not discuss this matter with other members of the team• (Name of employee) may discuss the matter with (Insert name)	
10.	Other			<ul style="list-style-type: none">• Please consider any other matters relevant.	



Action Plan

No.	Action Required	Action by	Target Date	Notes/Comments	Date Completed
EG	Rota adapted to ensure that employee is working 2:1 at all times.	Registered Manager	01.01.19	New rota provided to employee	01.01.19

Notes

Agreed With:	Name:	Date/Signature:
Line Manger		
Headteacher/RM		
Head of Service or Regional Director		

APPENDIX 3 – INVESTIGATION TEMPLATE

Confidential Investigation Report

Name:	<i>State name of employee being investigated</i>
Job Title:	<i>State title of employee being investigated</i>
Place of Work:	<i>State the employee's place of work who is being investigated</i>
Dates of Incident:	<i>State the date of the incident/s being investigated</i>
Investigating Officer Name & Title:	<i>Insert Name</i>
Date of report completion:	<i>Insert Date</i>

1. INTRODUCTION/ BACKGROUND OF THE ALLGEATION

State the employee’s length of service, their role and provide a summary of the allegation, include any relevant information, e.g., previous allegations.

2. SCOPE OF INVESTIGATION

To establish whether:

Outline the specific points that the investigation is looking into; does the allegation need breaking down into separate points.

2.1 Statements were received from the following employee’s:

Name	Job Title	Date

Explain why you requested statements from these parties and advise whether they consent for their name to be shared. If you were unable to talk to any parties you deemed relevant, explain why, e.g. left the service and declined to engage.

2.2 A statement was requested from the child/young adult/adult:

Please make every effort to interview the child/young adult/adult if appropriate to gain their perspective on the allegation, their voice is key to this investigation and outcome. Consider talking to their key worker/clinician to support this communication if appropriate. If you haven’t been able to gather the child/young adult/adult’s perspective, explain why not.

2.3 The following evidence was reviewed for the purposes of this investigation:

If relevant to the case, include reference to documentations/media (e.g., CCTV) reviewed in the appendices table below. Clearly state why these were considered relevant to this investigation and if certain evidence was not available, explain why and steps taken to resolve. Examples of relevant documentation may be risk assessments, copies of supervisions etc.

2.4 Appendices:

Appendix 1	
Appendix 2	
Appendix 3	
Appendix 4	
Appendix 5	

2. FINDINGS - *If more than one allegation, separate them out below***ALLEGATION 1:** *What is the allegation headline*

What did your investigation find? Add a clear overview of your findings and state whether you feel the allegation is unsubstantiated/substantiated and why, use the supporting evidence to illustrate this is relevant. Are there any facts that could not be established, if so please explain.

ALLEGATION 2: *What is the allegation headline? Delete if not applicable*

What did your investigation find? Add a clear overview of your findings and state whether you feel the allegation is unsubstantiated/substantiated and why, use the supporting evidence to illustrate this is relevant. Are there any facts that could not be established, if so please explain

3. CONCLUSIONS & RECOMMENDATIONS

Provide a succinct overview of the above, include any mitigations considered and make recommendations if possible on how to reduce the risk of this allegation happening again to any employees.

4. DECISION

What will the next steps be? E.g., no further action, informal action, formal action. Explain how you came to this decision and what other options you did consider and why they weren't pursued

5. ORGANISATIONAL LEARNING

State whether there are any lessons learnt that would be useful the organisation/ all. For example, changing a policy/process.

6. FEEDBACK TO THE CHILD/YOUNG ADULT/ADULT

Please confirm the outcome of the investigation has been shared with XXXXXX and consider the impact this may have on them. If you're not able to share this, explain why.

END OF REPORT

We are part of the Outcomes First Group Family, by working together we will build incredible futures by empowering vulnerable children, young people and adults in the UK to be happy and make their way in the world.

**Outcomes
First
Group.**

Acorn Education
Momenta Connect
Options Autism