EMBARK FEDERATION

Love Learning, Love Life.

The shared vision for our trust is to “create schools that ‘stand out’ at the heart of their communities.” Our trust has four core beliefs; Family, Integrity, Teamwork and Success that are integral to everything we do. The purpose is to enable everyone to be able to ‘Love Learning, Love Life.’

Our policies are underpinned by our vision, beliefs and purpose

Allegations and concerns (including low-level) raised about staff, supply staff, contractors and volunteers policy

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Date of Review	01/09/2027
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Approval Level	Embark Trust Board

Policy Accountability and Implementation

Policy Title:

Allegations and concerns (including low-level) raised about staff, supply staff, contractors and volunteers policy.

Policy Author / Reviewers:
Embark Safeguarding Lead, Embark People and Culture Lead

Policy Owner:
Embark Safeguarding Lead, Embark People and Culture Lead

Approval board/committee/group:
Embark Trust Board

Policy Monitoring and Compliance:
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Policy Classification and Publication

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Embark Schools intranet
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Version	Reviewed / Modified by:	Change History	Advisory committee / groups or specialists	Review / Meeting Date/s
4	Embark Safeguarding Lead/Embark People and Culture Lead	Added reference to low level concerns central embark Record	Embark Safeguarding Committee	September 2024
5	Embark Safeguarding Lead/Embark People and Culture Lead	Minor amends • Updated weblinks throughout the document • Page 14 Added reference to the use of *My Concern Staff Safeguarding* recording system (new process for 2025/2026 academic year)	Embark Safeguarding Committee	September 2025

Version	Reviewed / Modified by:	Change History	Advisory committee / groups or specialists	Review / Meeting Date/s
6	Embark Safeguarding Lead/Embark People and Culture Lead	Minor amends • Updated terminology from endemic child abuse to systematic safeguarding failures • Added a section on responding to anonymous allegations • Increase clarity regarding reporting and investigation responsibilities • Removed reference to DBS referral during investigation in line with KCSIE • Added in reference to trainee teachers, volunteers, and people working in school not employed by Embark	Embark Safeguarding Committee	September 2026

Introduction

The Embark Federation is committed to providing the highest level of care for both its pupils and its staff. It is extremely important that any allegations or concerns, including low-level, raised about a teacher, trainee teacher, any other member of staff, including supply staff, contractors or volunteers in our school are dealt with thoroughly and efficiently. We will maintain the highest level of protection for the child whilst also giving support to the person who is the subject of the allegation or concern. Our policy is in line with statutory guidance from the Department for Education and complies with the statutory guidance, Keeping Children Safe in Education.

This policy is designed to ensure that all staff, pupils and parents or carers are aware of the procedure for the investigation and management of allegations and concerns, including low-level concerns so that all complaints are dealt with consistently and as efficiently as possible.

This policy is in two parts. The first part deals with allegations made against teachers, and any other members of staff, including supply staff, contractors or volunteers. The second part of the policy deals with low-level concerns raised about teachers and any other members of staff, including supply staff, contractors or volunteers.

Responsibilities

Any allegations or concerns about staff, supply staff, contractors and volunteers working in or on behalf of Embark schools will be reported to the Headteacher immediately or to a member of the school senior leadership team with Designated Safeguarding Lead responsibility (if they are not the subject of the concern/allegation).

Any allegations or concerns about a Headteacher will be reported immediately to the chair of governors of the school.

Any allegations or concerns about a chair of governors or any governor will be reported immediately to the Trust Leader of the Embark Federation, and or to a member of the Embark Federation senior leadership team.

Any allegations or concerns about a member of the central team, or trustees must be reported immediately the CEO and any concerns about the CEO should be reported to the chair of trustees.

Any allegations or concerns about the Embark Trust (whistleblowing based on the possibility of systemic safeguarding failures, the Department for Education needs to be contacted and/or Ofsted

Any member of staff reporting a low-level concern or allegation is responsible for recording this concern in writing to the person it was escalated to.

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https://www.gov.uk/government/organisations/ofsted/about/complaints-procedure

All concerns will be taken seriously and responded to promptly and without delay to determine appropriate course of action.

Allegations relating to supply teachers, trainee teachers and contracted staff

Where an allegation or safeguarding concern relates to a person who is not directly employed by the Trust, including a supply teacher, trainee teacher, contractor, agency worker or other individual working on behalf of the school, the school remains responsible for ensuring that safeguarding concerns are dealt with properly, fairly and without delay.

The school will:

- immediately report concerns in accordance with this policy and, where appropriate, consult the Local Authority Designated Officer (LADO);
- undertake appropriate enquiries and risk assessments to ensure that children are safeguarded whilst the matter is considered;
- inform the relevant employment agency, training provider, contractor or employer as soon as possible;
- work collaboratively with the employer, agency or provider throughout the management of the allegation, recognising that safeguarding responsibilities are shared;
- ensure that decisions about the individual's continued deployment within the school are made in the interests of safeguarding children and are informed by discussions with the LADO and the employing organisation.

Whilst the Trust is not the employer of these individuals, in no circumstances would the Trust cease to use the services of a supply teacher, trainee teacher, contractor or other person not directly employed by the Trust because of safeguarding concerns without first establishing the facts, liaising with the LADO where appropriate and working with the individual's employer, agency or training provider to determine an appropriate outcome**.** Both organisations have a responsibility to ensure that allegations are managed appropriately and that suitable safeguarding action is taken.

This section applies equally to trainee teachers undertaking placements within the Trust, irrespective of whether they are employed directly, placed through an initial teacher training provider or undertaking school-based training.

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PART ONE: Allegations against staff, supply staff, trainee teachers, contractors and volunteers

The procedure for dealing with allegations against staff, supply staff, trainee teachers, contractors (including self-employed) and volunteers depends on the situation and circumstances surrounding the allegation.

This policy must be followed when dealing with allegations but may be adapted to each case. This policy will be used alongside the school's **complaints policy,** the school's **child protection and safeguarding policy on the school's website, and the local authority safeguarding children's partnership arrangements for managing allegations:**

https://www.ddscp.org.uk/staff-and-volunteers/info-and-resources/allegations/

Schools may receive an allegation relating to an incident that happened when an individual or organisation was using their school premises for the purposes of running activities for children (for example community groups, sports associations, or service providers that run extracurricular activities). As with any safeguarding allegation, schools will follow their safeguarding policies and procedures, including informing the LADO and in compliance with Keeping Children Safe in Education.

This policy will refer to the allegations threshold as described in Keeping Children Safe in Education statutory guidance and in local safeguarding children partnership arrangements and this will be used in any case where it is suspected or alleged that a member of staff, volunteer or contractor at the school has:

- behaved in a way that has harmed a child or may have harmed a child (our child protection policy outlines what it means to harm a child)
- possibly committed a criminal offence against or related to a child; or
- behaved towards a child or children in a way that indicates he or she may pose a risk of harm to children.
- behaved or may have behaved in a way that indicates they may not be suitable to work with children.

The fourth bullet point above includes behaviour and conduct that may have happened outside of school that might make an individual unsuitable to work with children. At any point, a headteacher/or member of the senior leadership team can contact the Embark People and culture Lead for advice and support. The Embark Federation also reserves the right to seek legal advice if necessary and proportionate.

Timescale

It is imperative that allegations against staff are dealt with as quickly as possible to:

- minimise the risk to the child
- minimise the impact on the child's academic progress
- minimise stress to the employee concerned

- ensure a fair and thorough investigation for all parties.

To enable this to happen, all staff, parents, and students should be aware of the procedures set out in this policy.

Procedure

Reporting an allegation

All allegations made against staff, supply staff, contractors and volunteers should be reported immediately. Complaints about the headteacher should be reported to the chair of governors who will then contact the LADO. The headteacher/chair of governors will then act as the case manager.

Staff who are concerned about the conduct of a colleague towards a pupil are undoubtedly placed in a very difficult situation. They may worry that they have misunderstood the situation, and they will wonder whether a report could jeopardise their colleague's career. All staff must remember that the welfare of the child is paramount and must report their concerns immediately.

When an allegation is made the headteacher or chair of governors will consider two aspects:

- looking after the welfare of the child; and
- investigating and supporting the person subject to the allegation.

In each case, the headteacher or chair of governors will:

- apply common sense and judgement;
- deal with allegations quickly, fairly and consistently; and
- provide effective protection for the child and support the person subject to the allegation.

The local authority has a function to receive all allegations and concerns that may have met an allegation threshold. The local authority has a LADO (Local Authority Designated Officer) whose role it is to investigate all allegations and concerns when raised with them. Before contacting the LADO, the headteacher or chair of governors will conduct basic enquiries to establish the facts to help determine whether there is any foundation to the allegation. The headteacher or chair of governors will contact the designated officer at the local authority and a discussion will take place to decide whether:

- more information is required; or
- no further actions are needed; or
- a strategy discussion should take place; or
- there should be immediate involvement of the police or social care.

The school will share available information with the LADO about the allegation, the child, and the person against whom the allegation has been made and consider whether a police investigation or a strategy discussion is needed. Representatives from other agencies may be invited to the discussion and could include representatives from health, social care and police.

Relevant and local contact details, procedures & forms for this are located in appendix 1 and 2.

Dealing with Allegations against Adults Working within the Trust Investigations

There are three types of investigation:

- by Social Care and the Police;
- by the Police under criminal law; or
- by the Embark Federation Trust in line with staff disciplinary procedures.

If an allegation is made against an adult working within the Trust, the quick resolution of that allegation should be a clear priority to the benefit of all concerned. At any stage of consideration or investigation, all unnecessary delays should be eradicated.

When an allegation of abuse is made against an adult working within the Trust there must be an immediate consideration of whether a child is at risk of significant harm and in need of protection with appropriate referrals to social care or the police made through local referral pathways. All allegations or concerns must be immediately reported to the headteacher who will act as the Case Manager but can delegate the investigation. If the headteacher is the subject of the allegation you must notify the governor.

All information regarding any concern will be shared immediately with the Embark Safeguarding Lead for advice and support. The Case Manager will apply common sense and judgement, deal with allegations quickly, fairly and consistently and provide effective protection for the child and support for the person subject to the allegation whilst also seeking support from the People and Culture Lead. The Case Manager will also be responsible for contacting the LADO to share the information about the allegation and to discuss the next steps and;

- recording decisions (including the rationale behind them);
- informing all parties of next steps.
- discussing options for the person against whom the allegations are made with the Safeguarding Lead and People and Culture Lead.
- attending, with the support of the Trust's Safeguarding Lead and People and Culture Lead, any appropriate strategy meeting
- sharing any additional concerns relating to the welfare of other children in the community or the member of staff's family with the LADO and ensuring risk assessment is undertaken regarding the situation
- ensuring that all involved parties are updated with progress of the investigation, case progress and outcomes, The discussions with the LADO will help the Case Manager to know the best options to deal with the allegations.

If the matter is to be dealt with internally within the school, the Case Manager will, with the necessary support from the Trust People and Culture Lead, make very clear plans for managing the allegations, the impact on others and the preventative steps needed to avoid such a situation occurring again. If the LADO feels that the matter needs a formal investigation external to the school or the Trust this will take the form of a strategy meeting with clear multi-agency discussions and plans taking place. Agreement must be reached with the LADO (and the Police / Children's Social Care if appropriate) and the People Directorate as to how information is shared and maintained with the adult concerned throughout the investigative process. The Case Manager will keep a record of all agreed actions and the strategies used including the rationale behind them throughout the investigation process.

An investigation into the allegation is normally carried out by children's social services or by the school. This will be agreed at the initial evaluation stage. Where the school is not conducting the investigation, it will cooperate with investigative agencies.

Internal investigations must be second to any safeguarding investigation and may need to be delayed until the external investigation is complete or had enough evidence to start an internal investigation.

Very few allegations including low-level concerns are deemed malicious or false.

A school must also consider any risks following an allegation been made. This may mean undertaking a risk assessment and managing any potential risks:

- if the individual remains in the school and or has contact with pupils during an investigation
- If the individual is distressed or exhibiting behaviour that may cause harm to self
- If the victim/s are in school

A risk assessment template and management plan is located in **appendix 3.**

The following definitions should be used when determining the outcome of the investigation.

- **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 or cause harm to the to the person subject to the allegation.
- **False**: there is sufficient evidence to disprove the allegation.
- **Unsubstantiated**: there is insufficient evidence to either prove or disprove the allegation. The term, therefore, does not imply guilt or innocence.
- **Unfounded**: to reflect cases where there is no evidence or proper basis which supports the allegation being made.

In no circumstances would the school cease to use a member of supply staff due to safeguarding concerns without finding out the facts and liaising with the LADO to determine a suitable outcome. Whilst the school is not the employer of supply teachers, we will ensure allegations are dealt with properly and involve the supply staff agency in the process.

Supporting those involved

The person(s) who makes the allegation and their parents/carers

Parents and carers will be notified if their child makes or is involved in an allegation against staff if they do not already know. However, if the police or social services are to be involved, they will be contacted first and will advise as to what information may or may not be disclosed to the parents. There will be a staff member designated to the role of liaising with the parents and child about the case and ensuring that they are fully informed as far as is possible. Parents and carers will be made aware of any progress in the investigation, and where there is no criminal prosecution, the outcome will be explained to them. This may be a disciplinary outcome. During a disciplinary hearing the deliberations and information used for making a decision are confidential, but parents will be offered feedback to give assurance the measures are in place to ensure safety measures are in place.

Social services and the police may be involved and will provide the school with advice on what type of additional support the child may need.

Duty of care for employees

The Embark Federation has a duty of care to its employees and will take steps to minimise the stress of any allegation and the investigation process.

The person who is the subject of the investigation will be informed as soon as possible of any concern and referral to LADO. The employee will then be advised on what the next course of action will be. However, if the police or social services are to be involved, they will be contacted before the employee and will advise as to what information may be disclosed to the person under investigation.

The school will allocate a named representative who will keep the employee informed of the progress of the case and any other work-related issues.

The employee will be advised to contact their trade union representative, or a colleague for support. The employee may need additional support, and the school will consider what might be appropriate to best accommodate this. If it is a criminal investigation and the police are involved, they may provide this additional support.

Where an allegation is made against a member of supply staff, the supply agency should provide additional support to that member of staff.

The school also provide the employee with and information leaflet provided by DDSCP, which explains the LADO process.

derbyshire-managing-allegations-information-leaflet-june-2025-.pdf

Confidentiality

The school will make every effort to guard the privacy of all parties during and after an investigation into an allegation. It is in everyone's best interest to maintain this confidentiality to ensure a fair investigation with minimum impact for all parties.

The Education Act 2002 introduced reporting restrictions preventing the publication of any material that may lead to the identification of a teacher in a school who has been accused by, or on behalf of, a pupil from the same school. This applies to parents and carers as well as the press.

A breach of confidentiality will be taken seriously and may warrant its own investigation.

Considering Suspension

The possible risk of harm to children posed by an accused person should be evaluated and managed in respect of the child(ren) involved in the allegations. In some rare cases that will require the Case Manager to consider suspending the accused until the case is resolved. Suspension should not be an automatic response when an allegation is reported; all options to avoid suspension should be considered prior to taking that step. Based on an assessment of risk, alternatives must be considered by the Case Manager including those below, and advice must be sought People and Culture Lead:

- redeployment so that the individual does not have direct contact with the child(ren) concerned.
- providing another adult to be present when the individual has contact with children.
- redeployment to alternative work so the individual does not have unsupervised access to children.

If immediate suspension is considered necessary, the rationale and justification for such a course of action should be agreed and recorded by the Case Manager in consultation with the People and Culture Lead. This should also include what alternatives to suspension have been considered and why they were rejected. Where it has been deemed appropriate to suspend the person, written confirmation should be sent within one working day explaining the reasons for the suspension. This should include details of who the member of staff's named contact is within the Trust and their contact details.

It is important to note that suspension is a neutral act which can protect the interests of both parties and is not a presumption of guilt. Particular care will be taken where the person is suspended to ensure they are kept informed of both the progress of their case and current work-related issues. The Trust cannot/will not prevent social contact with colleagues and friends unless such contact is likely to be prejudicial to the gathering and presentation of evidence in which case this will be made known to the individuals involved.

It is important to note that the decision to suspend can be taken at any point during the investigation.

Resignations

If an employee resigns when the allegation is made against them or during an investigation, the investigation will continue and every effort will be made to reach a conclusion, with or without the employee's cooperation. The employee will be given the full opportunity to answer the allegations.

In any event of a resignation, the procedures will still be followed and may include consultation with external agencies e.g.- the threshold for reporting to DBS/Teacher standards. A resignation or compromise agreement does not prevent the trust completing the safeguarding process or making referrals to statutory bodies.

Record keeping

Where an allegation is found to be false or malicious, it will be removed from the personnel record of the employee concerned.

For all other allegations, the following information will be kept in the employee's personnel file:

- a clear and comprehensive summary of the allegation, including the risk assessment template if used and any management plans
- Statements collected including obtaining any account from the alleged, the victim/s, any witnesses, and accounts by others considered relevant to the investigation
- details of how the allegation was followed up and resolved
- a note of any action taken, and decisions reached and the outcome
- a copy provided to the person concerned, where agreed by children's social care or the police
- a declaration on whether the information will be referred to in any future reference.

The record will be kept in the individual's personnel file and be subject to the usual school record retention procedures as set out nationally and locally. This includes for people who leave the organisation, at least until the person reaches normal pension age or for 10 years if that will be longer, from the date of the allegation.

The Trust will retain records of allegations and concerns in accordance with Keeping Children Safe in Education and the Information and Records Management Society (IRMS) Toolkit for Schools.

Action on conclusion of the case

If the allegation is substantiated and the employee is dismissed or resigns, or we cease to use the volunteer's services, the supply staff member's services or the contractor's services as a result of the allegation, the school will consider whether a referral must be made to the DBS and/or to the TRA as appropriate.

If it is decided that the employee may return to school after a suspension, then provisions will be put in place by the school to ensure that the transition is as smooth as possible. This may involve a phased return for a trial period or the use of another member of staff as a support system in the short term. If the child who made the allegation is still at the school, the school will consider what needs to be done to manage the contact between employee and child.

Where an allegation is made against a member of supply staff or a contractor, the outcome of the investigation will be shared with the supply agency and the LADO.

Action in the case of false or malicious allegations

Where an allegation is proved to be false, the headteacher and chair of governors may refer to social services to determine whether the child needs support or has been abused by someone else.

The school's **behaviour policy** sets out the disciplinary action that may be taken against pupils who are found to have made malicious allegations against school staff**.** The headteacher may consult the school governors when considering what action to take.

If the claim has been made by a person who is not a pupil, the school may pass the information to the police who may take further action against that person.

After the case

No matter what the outcome is of an allegation of abuse against staff, including supply staff, the school will review the case to see if there are any improvements that can be made in its practice or policy that may help to deal with cases in the future.

Non-recent (historical) allegations

Where an adult makes an allegation to [name of school] that they were abused as a child, that adult will be advised to report the allegation to the police.

Non-recent (historical) allegations made by a child will be reported to the LADO in line with the local authority's procedures for dealing with non-recent allegations.

PART TWO: Low-level concerns

Purpose

The procedure for dealing with low-level concerns raised in relation to teachers, any other members of staff, including supply staff, contractors or volunteers depends on the situation and circumstances surrounding the concern.

This part of the policy must also be followed when dealing with low-level concerns but may be adapted to each case. A low-level concern is referred to in the statutory guidance, Keeping Children Safe in Education and the Embark Federation will act in compliance with this and the school's child protection and safeguarding policy where it is relevant.

The Embark Federation promotes an open and transparent culture in which all concerns about all adults working in or on behalf of the school (including supply teachers, volunteers and contractors) are dealt with promptly and appropriately. This is designed to:

- promote and maintain a culture of openness, trust and transparency where staff are clear about the behaviours expected of themselves and their colleagues
- ensure staff feel comfortable to raise low-level concerns; and
- provide for efficient and proportionate handling of those concerns when raised.

Self- Referral

The Embark Federation will ensure they create an environment where staff are encouraged and feel confident to self-refer, where, for example, they have found themselves in a situation which could be misinterpreted, might appear compromising to others, and/or on reflection they believe they have behaved in such a way that they consider falls below the expected professional standards.

Recognising low-level concerns

A 'low-level' concern is defined as any concern – no matter how small, and even if no more than causing a sense of unease or a 'nagging doubt' – that an adult working in or on behalf of the school may have acted in a way that:

- is inconsistent with the staff code of conduct, including inappropriate conduct outside of work; and
- does not meet the allegations threshold or is otherwise not considered serious enough to consider a referral to the Local Authority Designated Officer (LADO).

Examples of such behaviour could include, but are not limited to:

- being over-friendly with children.
- having favourites.
- taking photographs of children on their mobile phones.
- engaging with a child on a one-to-one basis in a secluded area or behind a closed door; or,
- using inappropriate sexualised, intimidating or offensive language

The importance of sharing low-level concerns

For our culture of openness, trust and transparency to prevail, all staff including those who work on behalf of a school should share any low-level concerns they have. Serious case reviews and safeguarding practice reviews have all too often evidenced how low-level concerns felt and/or expressed by staff relating to individuals were not acted upon, and who were later found to have sexually abused children at a school were not recorded. When a low-level concern is not recorded, it cannot be reviewed or studied for patterns of behaviour.

To minimise and hopefully eradicate the risk of those opportunities being missed, it is critical that staff understand their role in identifying and reporting low-level concerns.

How to share low-level concerns

All staff are encouraged to report low-level safeguarding concerns including conduct and behaviour regarding colleagues so that the identified behaviours can be investigated and managed appropriately. The welfare of the child is paramount and so concerns must be reported immediately.

The procedure for reporting low-level concerns is deliberately the same as that for reporting allegations of abuse as set out in part one of this policy. Therefore, staff do not need to concern themselves with whether their concern meets the threshold set out in part one of this policy or is a low-level concern. The headteacher or chair of governors (if not the subject of the concern) will make this determination once the concern has been reported.

Responding to low-level concerns

The headteacher or chair (as appropriate) will review the concern to confirm that it is not a more serious issue that should be dealt with under part one of this policy.

If necessary, the headteacher or chair (as appropriate) will discuss the concern with the LADO to determine whether it should be dealt with under part one of this policy and or whether to clarify if the LADO has information to share.

The headteacher or chair (as appropriate) will discuss the concern with the individual who raised it and will investigate it.

Most low-level concerns can be dealt with by means of management support or additional training. Where necessary, action may be taken in accordance with the school's staff discipline, conduct and grievance policy. Very few allegations whether determined low-level concerns are malicious or false.

If the concern has been raised via a third party, the headteacher will collect as much evidence as possible by speaking directly to the person who raised the concern (unless it has been raised anonymously), to the individual involved directly and any witnesses.

Where a low-level concern is raised about a member of supply staff or a contractor, the concern will be shared with supply agency so they can take appropriate steps in accordance with their own policies and statutory guidance.

Recording low-level concerns

All low-level concerns will be recorded in writing and with:

- a clear and comprehensive summary of the concern, including the risk assessment template if used and any management plans
- Statements collected including obtaining any account from the alleged, the victim/s, any witnesses, and accounts by others considered relevant to the investigation
- details of how the concern was followed up and resolved
- a note of any action taken, and decisions reached and the outcome
- a copy provided to the person concerned
- a declaration on whether the information will be referred to in any future reference.

The records will be kept confidential and held securely in accordance with the Data Protection Act 2018 and the UK General Data Protection Regulation.

All low-level concerns will be recorded on **My Concern Staff Safeguarding**, which is a centralised Embark record keeping requirement.

Records of low-level concerns will be reviewed regularly on individuals so that potential patterns of concerning, problematic or inappropriate behaviour can be identified. If such patterns are identified, the school will decide on an appropriate course of action, will reconsider the allegations threshold, and will refer the matter to the LADO for further advice on how to proceed.

The record of the low-level concern will be kept in the individual's personnel file and be subject to the usual school record retention procedures as set out nationally and locally.

Anonymous allegations

Anonymous concerns will be considered on their merits, taking into account the seriousness of the allegation, credibility and available evidence.

References

Low-level safeguarding concerns will not be included in references except where they have met the threshold for referral to the local authority and the LADO and are found to be substantiated, in which case they should be referred to in a reference.

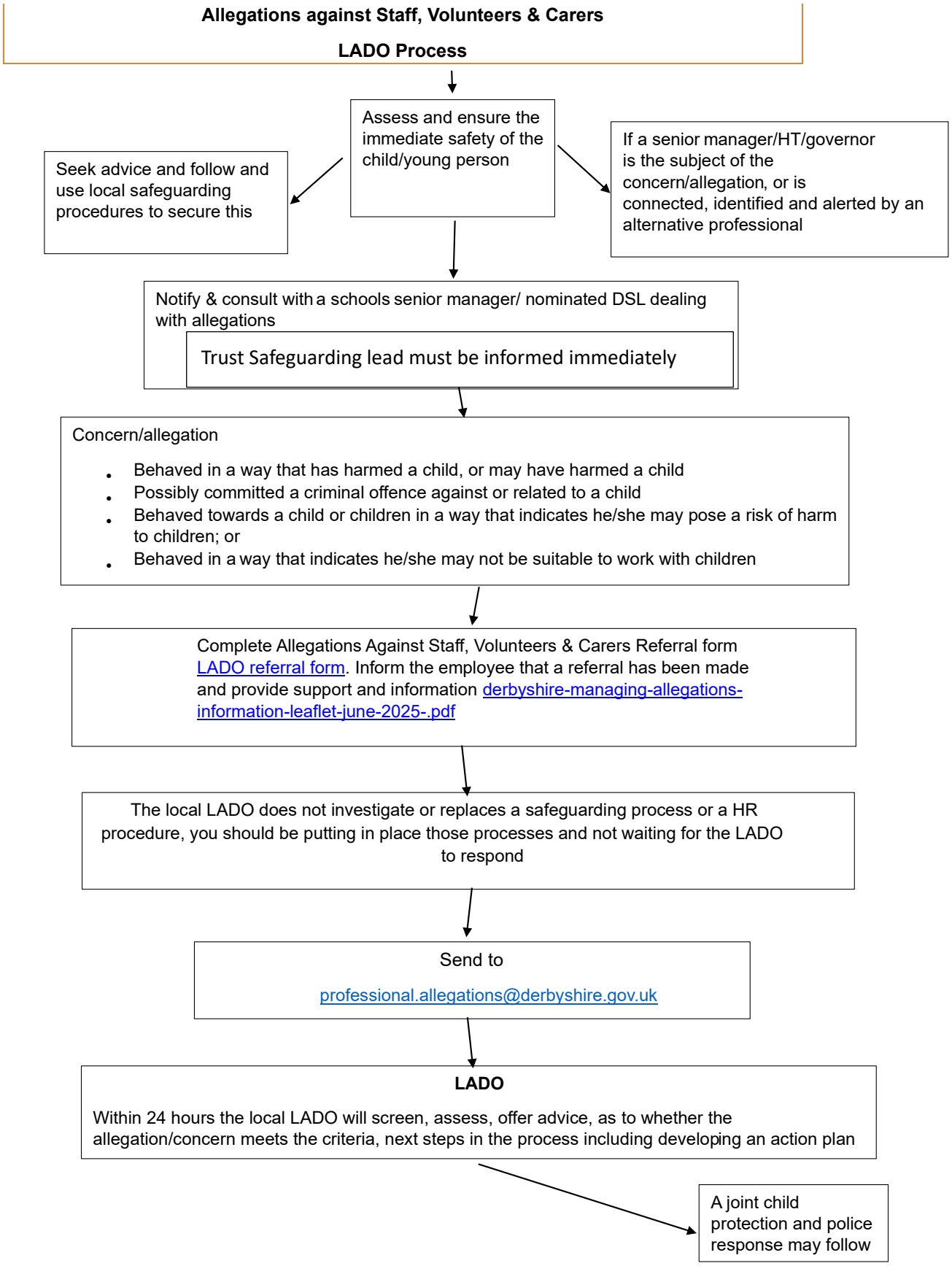
Materials and resources to support managing an allegation is available, and the school will provide this and guidance to any individual where an allegation has been made: https://www.ddscp.org.uk/staff-and-volunteers/info-and-resources/allegations/

Appendix 1. LADO Flow Chart

Appendices 2. LADO Referral Form

Appendices 3. Risk Assessment and Management Plan Template

Appendix 1. Embark LADO Flow Chart



Appendices 2. Seeking advice/making a referral to LADO

ALLEGATIONS AGAINST STAFF, VOLUNTEERS & CARERS REFERRAL TO LOCAL AUTHORITY DESIGNATED OFFICER (LADO) FORM

You should make a referral to the LADO if there is reasonable cause to believe that any person who works or volunteers with children, in connection with their employment, (including supply staff) 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 he or she may pose a risk of harm to children; or
- Behaved or may have behaved in a way that indicates they may not be suitable to work with children.

See DDSCP's Safeguarding Children Allegations against Staff, Carers and Volunteers procedure, and KCSIE

Once completed please return your form marked 'for the attention of the Duty LADO via secure email: (the Duty LADO will respond to any written referrals)

- **For Derby email: CPMduty@derby.gov.uk**
- **For Derbyshire email: professional.allegations@derbyshire.gov.uk**

NAME OF PERSON COMPLETING REFERRAL:	
DATE OF REFERRAL:	
WORK ROLE:	
ORGANISATION:	
TELEPHONE NUMBER/S:	
EMAIL ADDRESS:	

DETAILS OF PERSON OF CONCERN /SUBJECT (if the allegation is about a Head Teacher, please refer immediately to the Chair of Governors)	
FULL NAME:	
DOB:	
HOME ADDRESS:	
WORK ROLE:	
EMPLOYER & WORK ADDRESS:	
TELEPHONE NUMBER:	
WHAT HAS BEEN ALLEGED? Include dates, times, witnesses (where known) etc.	

WHAT IN YOUR OPINION IS THE NATURE OF THE ALLEGED HARM? Please tick which one applies			
• **Physical**	☐	• **Inappropriate Behaviour (in Work)**	☐
• **Sexual**	☐	• **Grooming**	☐
• **Neglect**	☐	• **Sexual Images**	☐
• **Conduct (outside work)**	☐		

DOES THE SUBJECT LIVE WITH OR HAVE OTHER CONTACT WITH CHILDREN?
Yes ☐ No ☐ Unknown ☐
• Details:
DOES THE SUBJECT HAVE ANY OTHER OUT OF HOURS, PART TIME PLACE OF EMPLOYMENT/ VOLUNTEERING ROLE WITH RESPONSIBILITY FOR CHILDREN?
Yes ☐ No ☐ Unknown ☐
• Details:
ANY PREVIOUS LADO OR CONCERN? Please put dates and outcome if known
Yes ☐ No ☐ Unknown ☐
• Details:
ANY OTHER PROFESSIONALS/VOLUNTEERS INVOLVED IN THIS ALLEGATION?
Yes ☐ No ☐ Unknown ☐
• **IF YES, AND FOR DATA PROTECTION PURPOSES, PLEASE COMPLETE SEPARATE REFERRAL**

IF APPLICABLE, FULL DETAILS OF CHILD VICTIM/COMPLAINANT	
NAME:	
DOB:	
ANY DISABILITY?	Yes ☐ No ☐ If yes, what is the nature of the disability?

HAS THE CHILD BEEN DISCUSSED BEFORE AS A VICTIM UNDER ALLEGATIONS AGAINST STAFF, CARERS AND VOLUNTEERS PROCEDURES? (Has the child made complaints about staff before?)	
Yes ☐ No ☐ • If yes, when and brief details:	
HOME ADDRESS OF CHILD:	
IS THE CHILD/YOUNG PERSON LOOKED AFTER?	Yes ☐ No ☐ **If Yes:** • Name of IRO and contact details: • Placing Authority • Name of Social Worker and contact details: • Has the Social Worker/ IRO been informed? Yes ☐ No ☐ **If No:** • Who has Parental Responsibility? • Are the child's parents aware of the allegation? Yes ☐ No ☐ • What do they know?

INITIAL CONTACT TO BE MADE VIA THIS REFERRAL FORM IF YOU FEEL THE CRITERIA IS MET.
WHAT ACTION HAVE YOU TAKEN SO FAR TO MANAGE THE IDENTIFIED RISK?
1. HAVE YOU REFERRED TO CHILDREN'S SOCIAL CARE/CHILDREN'S SERVICES? (In Derby via Initial Response Team via 01332 641172 or in Derbyshire via Starting Point 01629 533190)
Yes ☐ No ☐ • If no, give reasons: • If yes, referred to: Date: • Agreed action:
2. HAVE YOU REFERRED TO POLICE? Urgent 999 or non-urgent 101

Yes ☐ No ☐

- If no, give reasons:
- If yes, date you referred? Incident Number:
- Agreed Action:

3. HAVE YOU INFORMED YOUR HR/PERSONNEL DEPARTMENT?

Yes ☐ No ☐

- If no, give reasons:
- If yes, name of your HR person: Date you referred:
- Agreed Action:

4. HAVE YOU INFORMED ANY REGULATORY BODY or OFSTED/CCG/CQC?

Yes ☐ No ☐

- If no, give reasons:
- If yes, who informed and date you referred:
- Agreed actions:
- Case number, if referral appropriate:

IS THE SUBJECT AWARE OF THE REFERRAL?

Yes ☐ No ☐

THANK YOU FOR COMPLETING THIS REFERRAL FORM.
THE LADO WILL SEEK TO RESPOND WITHIN 24 HOURS OF RECEIPT OF YOUR REFERRAL.

How is your information used?

Information contained within this form will be used by the LADO during the management and oversight of allegations against people who work with children. The legal basis for processing is compliance with a legal obligation to safeguard and promote the welfare of children (s. 11 Children Act 2004), and duties imposed by the Working Together to Safeguard Children statutory guidance 2018.

Who will your information be shared with?

The information provided may be shared with other departments within the Council as appropriate, for example HR. It may also be shared with relevant third party organisations including Health, Police, Schools, educational settings or voluntary groups. Sharing will only be carried out where necessary and proportionate, and where there is an identifiable legal basis for doing so.

Information may also be shared with the Department for Education, Ofsted, DBS and HCPC as required by law and in certain circumstances the information will be shared with the subject in line with Subject Access Request.

Further information about how your personal information will be used please visit for Derby cases Derby City Council or for Derbyshire cases Derbyshire County Council, where you can see a full copy of our privacy notices. Alternatively, you can request a hard copy from Derby Child Protection Admin Team by phoning 01332 642376 or emailing cypsafeguarding@derby.gov.uk or from Derbyshire Professional Allegations Team by phoning 01629 531299 or emailing Professional.Allegations@Derbyshire.gov.uk.

Appendices 3. Risk Assessment and Management Plan Template

EMBARK FEDERATION

This is a risk assessment and management plan under allegations against professionals, carers, and volunteers (including contractors, supply, self-employed, using school premises and who are employees/ who work on behalf of the school/ are on school premises)

This risk assessment and management plan complies with the DFE statutory guidance Keeping Children Safe In Education and current local safeguarding procedures; Allegations against Staff, Carers and Volunteers procedure
This form is used in line with the Embark Trust Allegations and Concerns in relation to Staff policy, which is updated annually.

This form can be completed for individuals where allegations may/have met the harms threshold, or where there are concerns that do not meet the harms threshold (low level concerns).

This risk assessment and management plan must be discussed with the individual and reviewed at least two weekly and until required. The individual should receive a copy. This form must have supporting documentation and include:

- Statements collected including obtaining any account from the alleged, the victim/s, any witnesses, and accounts by others considered relevant to the investigation and attached
- Details of how the allegation/concern
- A duty of care outlined for all parties including the alleged
- Notes of any action taken, and decisions reached and the outcome and who by
- A declaration on whether the information will be referred to in any future reference
- An outcome as to whether a referral is to be made to the DBS/teacher standards
- A copy provided to the person concerned (and where agreed by children's social care or the police if relevant)

If the allegation/concern is proven to be malicious or false this form will not be stored on the individual's personnel file and not be declared on any references.

All allegations/concerns including low level are to be stored and retained in line with current national and local guidelines:

When an allegation or concern is received you must consider the allegations harm threshold in all cases:

The harms threshold:

- behaved in a way that has harmed a child or may have harmed a child and/or.
- possibly committed a criminal offence against or related to a child and/or.
- behaved towards a child or children in a way that indicates he or she may pose a risk of harm to children; and/or
- behaved or may have behaved in a way that indicates they may not be suitable to work with children.

1 Details

School …….. …….

Name of the individual ……. …….

Job Title …….

Employed by the school Yes/No

Is this individual supply/agency/contractor/self-employed/works on the premises Yes/No

Name of senior lead completing this form …….. **Position:** ……
2. Details of the nature of the allegation/concern and who reported this and when
3. Details of any immediate actions taken (include if the individual is not an employee actions taken here e.g.- informing the agency, proprietor of the schools club etc)
4. Brief outline of the statements collected as part of the investigation and where these are stored
5. Details of the reasons a risk assessment may be/is required

6. Threshold is met/not met

Threshold met, referral into LADO Yes/No Date submitted……. (form on personnel record?)

Threshold not met Yes/NO

Details of rationale of why threshold not met (therefore, defined to be a low-level concern)

7. Safety of child/ren and risks (duty of care)

Referral into the police Yes/No

Details and point of contact

Referral into children's social care for child/ren/case open to children's services Yes/No **Details**

and point of contact

Referral into children's social care as employee is living in a household with children under 18/or a vulnerable adult is at risk Yes/No

Details

Paid/voluntary employment elsewhere where employee is in contact with children? Yes/No

Actions taken (if yes)

8. Embark HR informed Yes/No

Details and preliminary outcome

9. Independent investigator required Yes/No

Reasons for and details

10. Safety of Employee (duty of care)

Nominated point of contact for employee (to report on the progress of the case) Yes/No

Name:

Outline the support plan and including medical advice given and on emotional health and wellbeing and monitoring

11. Independent representative (emotional support and wellbeing) Yes/No **Name**

and points of contact agreed

13. Further Outcomes

Suspension Yes/No

Reasons and rationale for the decision taken

External investigation agreed- police/social care/ strategy meeting Yes/No Details

Risk Assessment agreed (consider possible ongoing contact to children and if in work, and not suspended, the risks around regulated activity, details of plan for working onsite/offsite) Details

Ongoing management plan agreed (the work schedule/ weekly timetable for employee and any adjustments, sources of support, external counselling)

14. Final outcomes

Record any further relevant details here:

Threshold not met after investigations Yes/No

This is a low-level concern Yes/No

This is malicious/false Yes/No

This is unfounded Yes/No

This is unsubstantiated Yes/No

This is substantiated Yes/No

A referral to DBS/Teacher standards considered?

Ongoing risk management plan required (additional training, monitoring, supervision) Yes/No

Details

I confirm that I am aware of and understand the findings and of a need for a risk assessment and management plan and agree to ensure to keep the nominated senior leads and support and representatives up to date and inform these parties of any changes.

Signed (individual) ……

Date ----------

Signature of senior lead completing the form ……..

Date

Shared with:

Review 1

Date:

Detail here any new information, discussions, changes, and amendments, including an assessment of the employees' health and wellbeing.

Review 2

Date:

Detail here any new information, discussions, changes, and amendments, including an assessment of the employees' health and wellbeing.

(Add further reviews if required)

Date risk management plan no longer required

Details of reasons and rationale for this