

HET Managing Concerns and Allegations Against Employees, Agency Staff, Contractors and Volunteers Policy

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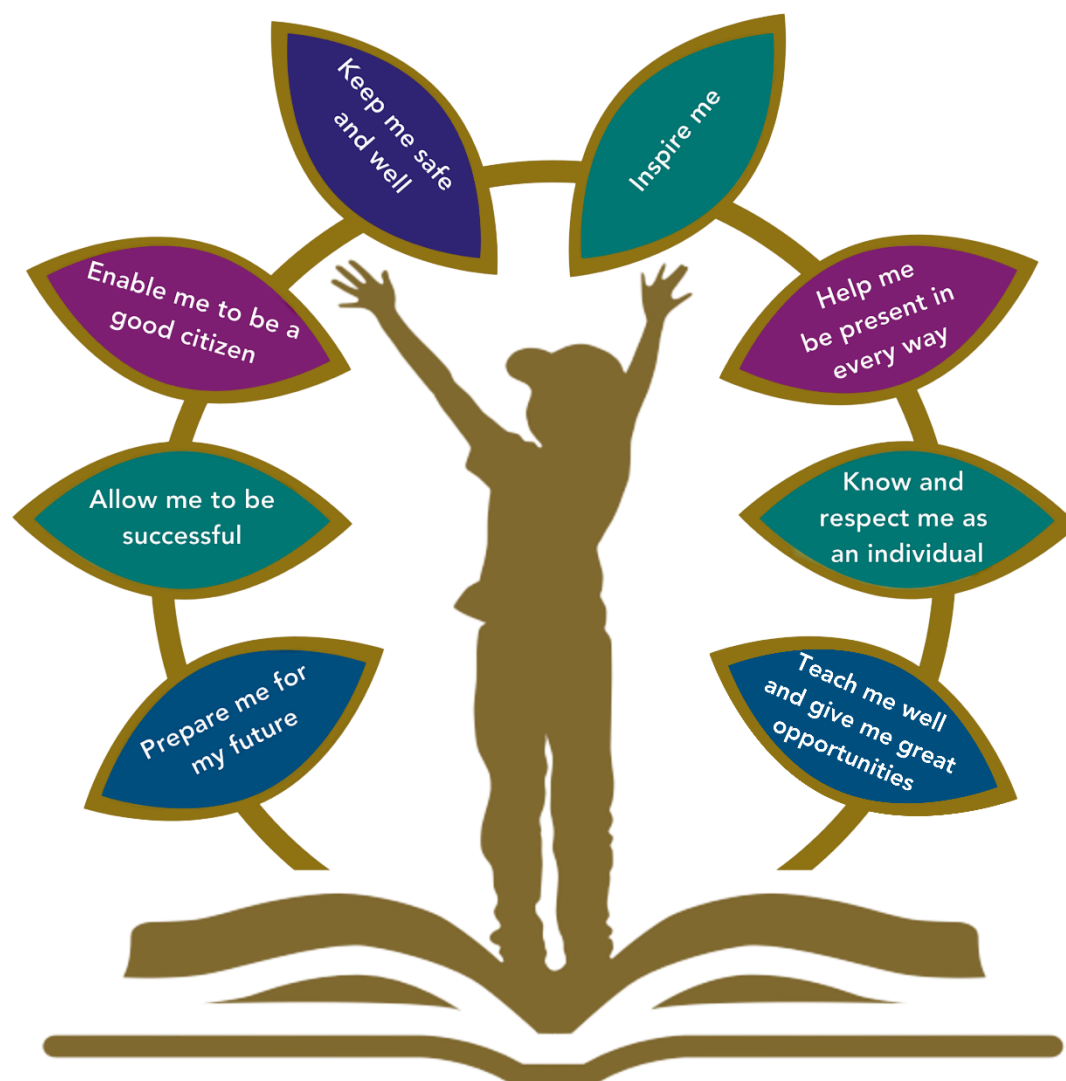
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Sam's Entitlement

1. Introduction

- 1.1 "Hamwic Education Trust (HET) believe that all pupils should receive a high quality, enriching, learning experience in a safe and inclusive environment, which promotes excellence through a broad curriculum that prepares them for their future and opens doors to a diverse array of opportunities as well as that all pupils and adults within HET flourish as individuals and together."
- 1.2 HET takes the safeguarding of its children very seriously and we recognise that it is extremely important that any safeguarding concerns or allegations made against an employee, agency staff, contractors or volunteers are managed quickly and effectively. It is also important that low level safeguarding concerns are recognised and reported so behaviours can be appropriately managed.
- 1.3 This policy sets out how HET will manage safeguarding concerns and allegations made about an employee, agency staff, contractors or volunteers in our schools, together with allegations relating to

incidents that happened when an individual or organisation is using the school premises for the purposes of running activities for children. It meets the requirements of the Department for Education statutory guidance for managing allegations set out in Part 4 of Keeping Children Safe in Education (KCSIE).

- 1.4 This policy is set out in two parts. The first part deals with allegations made against employees, including agency staff, contractors or volunteers, together with allegations relating to incidents that happened when an individual or organisation is using a school's premises for the purposes of running activities for children. The second part deals with low level concerns raised in relation to employees, including agency staff, contractors or volunteers.
- 1.5 This policy will be used alongside the HET Complaints Policy and HET Safeguarding and Child protection policy.

2. Scope

- 2.1 This policy is for all employees working within a HET school or establishment (which for ease of reference are referred to throughout this document as 'schools') or the HET Managed Service (MS) Team.
- 2.2 It also applies to agency workers, consultants, self-employed contractors, volunteers and work experience students.

3. Definitions

For the purpose of this policy, the following definitions apply:

- 'HET' refers to Hamwic Education Trust.
- 'HR' in this policy, means Hamwic Education Trust HR.
- 'Manager' in this policy, is anyone as identified in the staffing structure with line management responsibilities.

4. PART ONE: Managing allegations made against employees, agency staff, contractors or volunteers

- 4.1 Part one will be used when managing allegations. Whilst it will be used in all cases, Part 4 of KCSIE requires that it is followed in any case where it is suspected or alleged that an employee, including agency staff, or a volunteer 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; or
 - 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.
- 4.2 The fourth bullet point above includes behaviour that may have happened outside of a school/HET that might make an individual unsuitable to work with children. This is known as transferable risk.
- 4.3 This part will also be used where allegations are made relating to incidents that happened when an individual or organisation is using a school's premises for the purposes of running activities for children.

5. Reporting an allegation

- 5.1 The safety and welfare of our children is of paramount importance and so all employees must report any allegations immediately.
- 5.2 Allegations made against a school employee, agency staff, contractors or a volunteer should be reported to the School Leader. Allegations involving the School Leader or managed services team should be reported to HET Deputy CEO. Allegations involving HET executive team should be reported to the board of Trustees. The School Leader, HET Deputy CEO or Trustee (as appropriate) will then contact the local authority designated officer (LADO). The School Leader, HET Deputy CEO or Trustee will then act as the case manager. Contact should be made immediately with HET HR who will provide guidance and support throughout the case.
- 5.3 When an allegation is made, the School Leader / HET Deputy CEO will consider two aspects:
- looking after the welfare of the child; and
 - investigating and supporting the person subject to the allegation.
- 5.4 In each case, the School Leader / HET Deputy CEO 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.
- 5.5 Before contacting the LADO, the case manager will conduct basic enquiries to establish the facts to help determine whether there is any foundation to the allegation. The case manager will contact the LADO and an initial discussion will take place to consider the nature, content and context of the allegation and agree a course of action. A HET Designated Safeguarding Lead (DSL) and HR may also be involved in this discussion. This discussion may include that:
- no further action is required; or
 - more information is required to determine a course of action; or
 - a strategy discussion should take place; or
 - police or social care should be involved.
- 5.6 The school / HET will share relevant information with the LADO about the allegation, the child, and the person against whom the allegation has been made. If it is decided that a strategy discussion should take place, then the school will always attend that meeting. Representatives from other agencies such as health, social care and police may also be invited to the meeting.
- 5.7 Where an allegation is made or becomes known to HET or the school relating to incidents that happened when an individual or organisation was using a school's premises for the purposes of running activities for children the School Leader will inform the LADO in accordance with paragraph 5.6 of this policy.

6. Investigating an allegation

- 6.1 An investigation into the allegation should normally be undertaken by a senior manager within the school or HET. Where no suitable managers are available or the nature or complexity of the allegation requires it, HET may appoint an independent investigator.

6.2 When determining the outcome of an investigation Part 4 of KCSIE states that 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 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.

6.3 In no circumstances would a school cease to use a member of agency staff due to safeguarding concerns without finding out the facts and liaising with the LADO to determine a suitable outcome. Whilst HET is not the employer of agency staff, we will ensure allegations are dealt with properly and involve the agency in the process. HET will usually lead on any investigation and collect any facts and statements when an allegation is made and attend any allegation management meeting arranged by LADO.

7. Supporting those involved

7.1 Parents/carers of the child(ren) involved:

- 7.1.1 Parents or carers of the child involved will be told about the allegation if they do not already know of it. Where a strategy discussion is required, or police or children's social care need to be involved, the school will not tell the parents or carers until it has been agreed with those agencies what information can be shared.
- 7.1.2 The school will keep parents or carers informed about the progress of the investigation. Where there is no criminal prosecution, the school will tell parents or carers the outcome of the investigation. The deliberations of any disciplinary hearing, and the information taken into account in reaching a decision, will not normally be disclosed.

7.2 The employee or volunteer

- 7.2.1 HET has a duty of care to its employees and will act to minimise the stress inherent in the investigation process.
- 7.2.2 The person who is the subject of the allegation will be informed as soon as possible, usually after the initial discussion with the LADO. The person will be advised of the likely course of action unless the police or children's social care raise an objection. In those circumstances the school will work with children's social care and the police to agree what information can be disclosed and when.
- 7.2.3 The School Leader / HET Deputy CEO (as appropriate) will appoint a named representative to keep the person who is the subject of the allegation informed of the progress of the case and up to date on other school related matters. The School Leader / HET Deputy CEO (as appropriate) will also consider what other support may be appropriate for the individual. They will be provided with details of HET's employee assistance programme (EAP).
- 7.2.4 The person who is the subject of the allegation will be advised to contact their trade union representative, or a colleague for support.

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

8. Suspension

- 8.1 Suspension is not an automatic response to an allegation being made. HET will only suspend an employee following careful consideration of whether there is cause to suspect the child or other children is/are at risk of harm or the case is so serious that it might be grounds for dismissal. In many cases, it may be possible for alternative arrangements to be made so that the individual can continue working.
- 8.2 HET will decide whether to suspend an employee. Where the LADO, Police or children's social care are involved in the case, the school/HET will listen to their views regarding suspension.
- 8.3 HET has no authority or power to suspend a member of agency staff where an allegation is made against them. Instead, the school immediately will cease to use the services of that member of agency staff.
- 8.4 Where the employee is suspended, they will receive written confirmation within one working day and will be informed of the reason for the suspension.
- 8.5 After the suspension, if it is decided that the employee can return to the school / HET, measures will be put in place to support their return to work. This could include a phased return or offering another employee as a support system.
- 8.6 The school will not prevent social contact with work colleagues and friends unless there is evidence to suggest such contact may prejudice the gathering of evidence.

9. Resignation

- 9.1 If the individual resigns or the agency staff member, contractor or volunteer ceases to provide their service, the investigation into the allegation will be completed. The individual will be given the opportunity to engage with the investigation.

10. Action on conclusion of the case

- 10.1 If the allegation is substantiated and:

- the employee is dismissed or resigns; or
- we cease to use the agency staff member's services as a result of the allegation;
- we cease to use the contractor's services as a result of the allegation; or
- we cease to use the volunteer's services as a result of the allegation.

HET will consider whether a referral to the DBS and/or to the Teaching Regulation Agency (TRA) is required.

- 10.2 Where an allegation is found to be false, the school may refer the case to social services to determine whether the child needs support and/or to understand if there is a safeguarding reason why the false allegation was made.
- 10.3 Each HET school's behaviour policy sets out the action that may be taken against children who are found to have made malicious allegations.

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

11. Post incident review

- 11.1 It is good safeguarding practice for HET and the school to review incidents upon their conclusion so they can learn from them and continue to improve standards of safeguarding. Where allegations are made against employees, agency staff, contractors or volunteers, HET may carry out a review at the conclusion of the case.

12. Timescales

- 12.1 Investigations into allegations against employees, including agency staff or volunteers or contractors will be concluded as quickly and efficiently as possible to ensure that any risks to the child or other children and stress to the individual is minimised as far as possible.

13. Record keeping

- 13.1 Allegations found to be false or malicious will be removed from the employment record of the individual. For all other allegations, a clear and comprehensive summary of the allegation, how it was followed up and resolved, a note of actions taken and decisions reached and a declaration on whether the information will be referred to in any future reference will be retained on the employment file. A copy will also be provided to the individual.
- 13.2 The record will be kept, including for people who leave HET, at least until the person reaches normal pension age or for 10 years if that will be longer, from the date of the allegation.
- 13.3 Details of any allegation made by a pupil will be kept in the confidential section of their record.

14. Confidentiality

- 14.1 HET will make every effort to maintain confidentiality and guard against unwanted publicity whilst an allegation is being investigated.
- 14.2 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.

15. Non recent allegations

- 15.1 Where an adult makes an allegation to HET that they were abused as a child, that adult will be advised to report the allegation to the police.
- 15.2 Non recent 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.

16. PART TWO: Managing low level concerns

- 16.1 This part of the policy will be followed when dealing with low level concerns raised in relation to employees, including agency staff, contractors or volunteers and may be adapted to each case as

required. It will be used in conjunction with the HET Complaints Policy, HET Safeguarding and Child Protection Policy, Employee Code of Conduct and HET Disciplinary Policy.

16.2 HET promotes a culture in which all concerns about all adults working in or on behalf of HET (including supply teachers, contractors and volunteers) are addressed appropriately.

16.3 This policy is designed to:

- promote and support a culture of openness and trust where employees are clear about the behaviours expected of themselves and their colleagues
- ensure employees are comfortable to raise low level concerns; and
- provide for efficient and proportionate handling of those concerns.

17. Recognising low level concerns

17.1 This policy will be used to manage 'low level' concerns, defined in Part 4 of KCSIE 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 a school may have acted in a way that:

- is inconsistent with the employee 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 LADO.

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

- being over friendly with children;
- having favourites;
- taking photographs of children on their personal mobile phone;
- engaging with a child on a one-to-one basis in a secluded area or behind a closed door; or
- humiliating children.

18. Sharing low level concerns

18.1 For our culture of openness and trust to prevail, all employees should share any low level concerns they have. Serious Case Reviews and Safeguarding Practice Reviews have often evidenced how low level concerns felt and/or expressed by employees relating to individuals who were later found to have sexually abused children at a school were not recorded. When they are not recorded, they cannot be reviewed or studied for patterns of behaviour.

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

18.3 All employees are encouraged to immediately report low level safeguarding concerns as defined in this policy so that the identified behaviours can be investigated and managed appropriately.

18.4 All low level concerns in relation to school employees, agency staff, contractors or volunteers should be reported immediately to the School Leader. Concerns about the School Leader or managed services employees should be reported to HET Deputy CEO. Concerns about HET executive team should be reported to the board of Trustees.

- 18.5 The procedure for reporting low level concerns is consistent with that for reporting allegations of abuse as set out in part one of this policy. Employees do not need to determine whether their concern meets the threshold set out in part one of this policy or is a low level concern. The School Leader / HET Deputy CEO (as appropriate) will make this determination once the employee has reported the issue.

19. Responding to low level concerns

- 19.1 The School Leader / HET Deputy CEO (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. An issue reported as a low level concern would be dealt under part one of this policy where it meets the threshold set out in part one or there is a pattern of low level concerns expressed about the individual or wider employee practices generally. If necessary, the School Leader / HET Deputy CEO (as appropriate) will discuss the concern with the LADO to determine whether it should be dealt with under part one of this policy.
- 19.2 The School Leader / HET Deputy CEO (as appropriate) will discuss the concern with the individual who raised it and will investigate it as appropriate.
- 19.3 Most low level concerns are likely to be minor and can be dealt with by means of management support or additional training. Where necessary, action may be taken in accordance with HET's code of conduct and disciplinary procedure.
- 19.4 If the concern has been raised via a third party, the School Leader / HET Deputy CEO (as appropriate) will collect evidence by speaking directly to the person who raised the concern (unless it has been raised anonymously), the individual involved and any witnesses.
- 19.5 Where a low level concern is raised about a member of agency staff or a contractor, the School Leader will discuss the concern with the individual in the first instance. The concern will then be shared with the supply agency so they can take appropriate steps in accordance with their own policies and statutory guidance.

20. Recording low level concerns

- 20.1 All low level concerns will be recorded in writing and will include details of the concern, the context and action taken. The records will be kept confidential and held securely in accordance with the Data Protection Act 2018 and the UK General Data Protection Regulation and HET record retention schedule.
- 20.2 Records of low level concerns will be reviewed so potential patterns of concerning, problematic or inappropriate behaviour can be identified. If patterns are identified, the School Leader and/or HET Safeguarding team will decide on an appropriate course of action and will refer the matter to the LADO where the behaviour moves from a concern to meeting the threshold set out in the first part of this policy.
- 20.3 The record of the low level concern will be kept at least until the person leaves HET.

21. References

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



22. Review of policy

- 22.1 This policy will be reviewed annually by HET HR and any amendments will be shared with the recognised trade unions. HET HR will monitor the application and outcomes of this policy to ensure it is working effectively.

23. Associated Policies and documents

- HET Complaints Policy
- HET Disciplinary Policy
- HET Employee Handbook & Code of Conduct
- HET Safeguarding and Child Protection Policy
- Keeping Children Safe in Education