

**RESPONDING TO SAFEGUARDING CONCERNS ABOUT INDIVIDUALS WHOSE WORK BRINGS THEM INTO CONTACT WITH CHILDREN AND ADULTS AT RISK**

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| Cwm Taf Morgannwg Safeguarding Board | Date: April 2023 | Status: Approved |
| Author: PPG | Previous July 2018 | Review date: April 2025 |

**1 Introduction:**

This policy sets out the arrangements for responding to safeguarding concerns about those whose work, either in a paid or voluntary capacity, brings them into contact with children or adults at risk. It also includes individuals who have caring responsibilities for children or adults in need of care and support and their employment or voluntary work brings them into contact with children or adults at risk.

This policy supports agencies' own internal disciplinary procedures and provides guidance to deal appropriately with any concerns or allegations of professional abuse or neglect and to ensure that all allegations of abuse made against staff or volunteers working with children, young people and adults at risk are dealt with in a fair, consistent and timely manner.

The main factor to consider when applying this policy is whether the individual subject to the allegation or concern, occupies a position of trust; this is where a member of staff / volunteer is in a position of power or influence over a child or adult at risk, by virtue of the work or nature of activity being undertaken.

**2 Purpose:**

This policy sets out the process to be followed by agencies when responding to allegations against adults who work with children, young people and adults at risk. The policy includes the thresholds for implementation and guidance regarding appropriate timescales for investigation.

Reference to children within this document includes any child who has not yet reached their 18th birthday. The definition of Children at Risk follows the definition as set out in the Social Services and Well Being Act 2014:

* Is experiencing or is at risk of abuse, neglect or other kinds of harm
* Has needs for care and support (whether or not the authority is meeting any of those needs).

Reference to Adults at Risk includes adults over the age of 18 and follows the definition as set out in the Social Services and Well Being Act 2014:

* Is experiencing or is at risk of abuse or neglect,
* Has needs for care and support (whether or not the authority is meeting any of those needs)
* As a result of those needs is unable to protect himself or herself against the abuse or neglect or the risk of it.

**Overarching Principles**

* Children and adults at risk are safeguarded from individuals who may pose a risk in the setting within which that they work or volunteer

* Ensure that allegations and safeguarding concerns are dealt with in a fair, consistent and timely manner and in accordance with statutory guidance

* Ensure that there is appropriate support, information and advice for all those affected during this process
* Ensure that individuals who are not suitable to work with children and adults at risk are prevented from doing so by notification to the Disclosure and Barring Service and other relevant and professional bodies
* Local Authorities should appoint a senior manager as the Local Authority Designated Officer (LADO/DESIGNATED OFFICER FOR SAFEGUARDING) with responsibility for acting under the policy.

For the purposes of this policy, the definition of ‘work’ includes the following:

* Those in paid employment, including temporary, students/trainees, casual, agency staff and those who are employed as Personal Assistants under the direct payment scheme
* Individuals undertaking unpaid voluntary work
* Individuals who are self-employed and work directly, or are contracted to work, in the provision of services to children and adults at risk

This policy is underpinned by the following legislation and should be read in conjunction with:

* Social Services and Wellbeing (Wales) Act 2014
* Working Together to Safeguard People: Volume 5 – Handling Individual Cases to Protect Children at Risk
* Working Together to Safeguard People: Volume 6 – Handling Individual Cases to Protect Adults at Risk
* Wales Safeguarding Procedures
* Keeping learners safe: managing allegations of abuse against teachers and others engaged in education services in Wales 2015

**3 When to use this policy:**

When considering the application of this policy, several factors should be considered. Some concerns could be considered as poor professional practice and may be more appropriate to be dealt with via agencies' own internal processes or through providing appropriate advice, guidance, or training.

If agencies decide not to take any further action under this policy, they must record their rationale for this decision via their internal recording mechanisms. It is critical that these records are retained in case there is further or repeated concern. If agencies are unclear about what action to take, they must seek appropriate advice from the LADO/Designated Officer for Safeguarding.

Managing cases under this policy applies to a wider range of allegations than those in which there is reasonable cause to believe a child or adult at risk is suffering, or is likely to suffer, harm. It also applies to concerns that might indicate that a person is unsuitable to continue to work with children or adults at risk in their present position or in any capacity. It should be used in all cases in which it is alleged that a person who works with children or adults at risk has:

* Behaved in a way that has harmed or may have harmed a child or adult at risk.
* May have committed a criminal offence against a child or adult at risk or that has a direct impact on the child or adult at risk
* Behaved towards a child, children, or adults at risk in a way that indicates they are unsuitable to work with both children and adults

It can be difficult to determine what may fall into the category of "unsuitable to work with children or adults at risk". The employer should consider whether the subject of the allegation or concern has:

* Been the subject of criminal procedures that indicate a risk of harm to a child or adult at risk
* Caused harm or possible harm to a child or adult at risk and there is a risk in the working, volunteering, or caring environment
* Contravened or continued to contravene their agency’s Safeguarding Policy and Procedures
* Failed to understand or comply with the need for clear personal and professional boundaries in the workplace
* Behaved in a way in their personal life which could put children and adults at risk of harm
* Behaved in a way that undermined the trust placed in them by virtue of their position
* Children who are subject to Child Protection Process/Registration.
* Has caring responsibilities for an adult who is subject to Adult Protection process.

**4.** **Making a report:**

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

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

**They should not:**

* Investigate or ask leading questions
* Make assumptions or offer alternative explanations
* Promise confidentiality - the person/persons should be advised that the concern will be shared on a 'need to know' basis

**They should:**

* Make a written record of the information (using where possible, the child’s / adult’s own words), including the time, date and place where the alleged incident took place, what was said and anyone else present
* Sign and date the written record
* Immediately report the matter to the Designated Person (within their agency), or deputy in their absence
* Where the Designated Person is the subject of the allegation, the information should be reported to a more Senior Manager

**It must be noted that some allegations are so serious as to require immediate referral to the police and/or Social Services. This policy is not in any way intended to impede the requirement for urgent or immediate responses to circumstances that are clearly serious, although it is expected that the LADO/Designated Officer for Safeguarding is informed of such events at the very earliest opportunity and in all circumstances within no more than 24 hours after the concern has arisen (next working day - if out of hours).**

Any person who has a concern that falls within the scope of this document will refer their concerns by submitting a referral form. For referrals to Rhondda Cynon Taf and Merthyr Tydfil the C1 referral form is to be used for children and the A1 referral form for adults MASH/IAA referrals. For referrals to Bridgend the ‘Request for Help’ Form will be used for children the ‘Adult at Risk Referral Form’ is to be used for adults.

The referrer should clearly highlight that this is a concern in relation to an allegation against a professional, volunteer or carer and where possible, should send accompanying documentation such as the risk assessment clearly advising what safeguarding action has been taken to protect any children and adults at risk.

In cases where there is an identifiable child or adult at risk who has been subject to abuse or neglect, Child Protection/ Adult Protection Procedures will be implemented and followed alongside the process outlined in this policy. If there is no identifiable child or adult at risk and the professional meets the criteria identified in section 3 then this policy will still be invoked.

In cases where there is an identifiable child, young person or adult at risk who maybe raising the concern or has been subjected to possible abuse then a proportionate assessment/Section 126 enquiries will be considered by social services in accordance with the Social Services and Well Being (Wales) Act 2014 and the Wales Safeguarding Procedures. The outcome of this assessment must be fed back to the LADO/Designated Officer for Safeguarding.

On receipt of the referral, the receiving team within the MASH/IAA will inform the LADO/Designated Officer for Safeguarding responsible for professional concerns for both children and adults. They will carry out or co-ordinate an initial strategy discussion within 24 hours of the decision to proceed to a strategy discussion.

The employer/voluntary organisation or professional body may need to consider suspending the employee without prejudice or putting in place support or restrictions to safeguard vulnerable persons. This will also safeguard the employee against accusations of interfering with the enquiries and as a safeguard to the organisation.

If the allegation has not come from within the employee’s organisation and referred accordingly, then the police and or Children’s and Adult Services should consider informing the designated person within the employing agency that an allegation against a member of staff has been made and formal investigations are required.

Any person who has a concern should:

* Make the report as per guidance above
* Seek advice and support from their line manager
* Make a record of the concerns and any actions taken and by whom, in line with their agency policy. This should include the rationale for any decisions that have been made
* Complete an appropriate risk assessment to ensure children and adults at risk are protected
* If the person is a foster carer or adult placement carer consideration must be given for the need for safe care arrangements for any other children or adults at risk within their care
* If the person works within a health or social care setting consideration must be given to ensure protective measures are implemented for any other children or adults at risk.
* The employer must seek advice from the Police and / or LADO/Designated Officer for Safeguarding about how much information can be disclosed to the subject of the concern person(s).
* The employer should provide welfare support to the subject of the concern

**5. The Professional Strategy Discussion:**

The initial strategy discussion will be co-ordinated and facilitated from the MASH if other safeguarding measures for children or adults at risk are being considered.

The professional strategy discussion will always take place with the Police and any other appropriate agencies / partners. As part of this process Children’s Services and Adult Services will consider informing Care Inspectorate Wales (CIW), and Healthcare Inspectorate Wales (HIW) and any relevant professional bodies as appropriate. They should be invited to take part in any subsequent strategy meeting / discussion.

The focus of the strategy discussion is as follows:

* Whether the matter meets the threshold for progressing to a formal Professional Strategy Meeting
* Identification of any activities or caring responsibilities for children or adults that the subject of the allegation is involved in outside of their paid employment
* Consideration of interim safeguards whilst further enquiries are made.
* Decision about what information can be shared with the subject of the allegation, the child or adult at risk and their parent/carer.
* Decisions about employer involvement within the process
* Review adequacy of safeguards in place

* Agree any actions to be taken or any further information needed prior to the Professional Strategy Meeting
* Decide whether immediate briefings to management are required

**6. Professional Strategy Meeting:**

The Professional Strategy Meeting will be convened by the LADO/Designated Officer for Safeguarding when safeguarding allegations/concerns have been raised about a practitioner/person in positions of trust. This can either be in a personal or professional capacity, where the individual has wider contact with children or with adults at risk and is in a position of trust.

The main functions of the strategy meeting are to:

* Ensure the proper co-ordination of child, adult protection, criminal and employment procedures
* Share all relevant information about the allegation/concern in question
* Consider what action may be required to protect the child or adult at risk in question
* Consider the likelihood of harm to other children or adults at risk with whom the person has contact at work or other activities, and agree any actions that are required
* Consider and evaluate the risk of harm to the subject’s own children, and agree any actions that are required
* Discuss any previous allegations or other concerns.
* Plan any enquiries needed and allocate tasks and set timescales
* Decide who is to be interviewed and lead agency
* Identify a lead contact manager within each agency
* Decide what information can be shared with whom (Including subject of allegation/concern) when and who will do this
* Agree timescales for actions and/or dates for further meetings
* Consider whether the adult’s suitability to continue working with children or adults at risk in his or her current position has been called into question
* Consider whether there are disciplinary issues to be followed up
* Agree at what stage in the process the disciplinary issues should be followed up
* Consider any other factors that may affect the management of the case e.g. consideration of the need for a media strategy where there is likely to be press interest
* Confirm arrangements regarding who will communicate with the person about whom there are concerns and ensure appropriate support is provided
* Ensure that the appropriate referrals are made to the Disclosure and Barring Service and registering bodies of the professional involved (this can be completed at any point throughout the process)
* The employer/voluntary organisation or registering body may need to consider suspending the employee without prejudice, or putting in place support or other restrictions to safeguard vulnerable persons, to safeguard the employee against accusations of interfering with the enquiries and as a safeguard to the organisation

More than one Professional Strategy Meeting is likely to be required to co-ordinate, monitor and review the process.

**7. Who to Invite to the Professional Strategy Meeting**

The Professional Strategy Meeting will be chaired by the LADO/Designated Officer for Safeguarding for children or adults, who will also identify who will attend. In cases where a child or an adult protection concern is raised about a worker who is employed under the auspices of Direct Payments, the employer has the challenge of fulfilling the role of both employer and parent of the child or person who may have been harmed or at risk in association with the concern.

The chair in these cases should consider how the parents and/or adult at risk/employer will be supported in contributing to the process. There should be consultation with the parents and /or adult at risk / employer about the advantages of a third party who is informed about employment law duties / rights to represent parent and/or adult at risk as an employer at these strategy meetings.

Consideration will be given to inviting the following:

* Social Services Manager with referral information
* Police
* Team Manager and Social Worker for the child or adult at risk
* Fostering Team Manager, Adult Placement Team Manager
* Registered Manager of Residential Unit where the allegation is against a foster carer or residential worker (including Voluntary sector or private agency)
* Registered manager for adult services provision, i.e., Care home, Domiciliary provider, supported living and day services (including Voluntary sector of private agency)
* Legal representative for the Local Authority
* Employer (where the employer is already aware of concerns, or disclosure of concerns has taken place)
* Health Representative
* CIW (where the concern is about a Foster Carer, Adult Placement Carer , Childminder or Care Provider Adults and Children)
* HIW (where the concern is about a professional within a health setting they regulate i.e. private hospital)
* Education representative when the individual concerned is working within this agency, and Chair of Governors when the allegation is against a Head Teacher
* Estyn to be considered when the concern relates to independent schools
* Human Resources or Personnel representative (who has authority to advise the employer about suspension)
* Representative of Voluntary organization

**8. Informing the Individual**

When informing the individual careful consideration should be given to the following:

* The person subject to the allegation should be given appropriate support by their employer or nominated individual
* The person who is the subject of the allegation should be treated fairly and honestly and helped to understand the concerns expressed and processes involved
* The person who is the subject of the allegation should generally be informed that they are subject of an allegation at the earliest opportunity
* If the allegation has been made in respect of a foster carer or adult placement carer they should be informed that an allegation has been made by the registered manager or delegate
* The employee will NOT be informed of the details of the allegation/concern until the timings for doing so have been agreed with Social Services /Police. This will be considered during the interim safeguarding arrangements discussed and agreed by the Police and LADO/Designated Officer for Safeguarding
* Information about the adult, child or family should not be shared with the individual against whom the allegation was made or anyone representing them
* In determining when to inform the individual, consideration should be given to any potential risks to the child or adult involved in the allegations, or to any other children or adults connected to the individual’s home, work or community life
* Consideration should also be given to the potential for the individual to impede any investigation, remove or interfere with evidence or to intimidate or coerce potential witnesses
* If suspended, the individual will be kept up to date about events in the workplace by a named contact
* As soon as possible after an allegation has been received, the accused member of staff should be advised to contact their Trade Union or professional association
* Human Resources should be consulted at the earliest opportunity in order that appropriate support can be provided via the organisation’s occupational health, employee welfare arrangements, or individual agency's own safeguarding arrangements

**9. Informing parents /carers, children, adults at risk or their representatives:**

* The general principle is that the parents or carers of the adult or child/ren involved and the adult or child/ren where appropriate, should be informed about the allegation as soon as possible but only following discussion with the LADO/Designated Officer for Safeguarding responsible for professional concerns.
* Parents/carers of the adult or child/ren involved and the adult or child/ren where appropriate, must be informed of the outcome of the strategy discussion/meeting and should, when necessary, be helped to understand the decisions reached. It will be agreed in the Strategy Discussion or Outcome Strategy meeting who will undertake this.
* Examples where it may not be appropriate to inform parents, carers adults or child/ren or their representative immediately could include where the allegation made is against a family member, or if the Police investigation could be hampered by informing the parent/carer, child adult at risk or their representative. In these cases, the timings for the parents or carers being told must be confirmed with the relevant Childrens/Adults Services and Police.

**10.    Concluding the Process:**

An Outcome Professional Strategy Meeting should be held to decide whether on the balance of probabilities the concerns are substantiated.  If the concerns are not deemed to be substantiated, then the outcome should be recorded as unsubstantiated, unfounded or deliberately invented or malicious.  The following definitions will guide strategy meetings in determining which outcome applies;

Allegations will have outcomes within the following four categories:

**Substantiated** – a substantiated allegation is one which is established by evidence or proof.

**Unsubstantiated** – an unsubstantiated allegation is not the same as an allegation that is later proved to be false.  It simply means that there is insufficient identifiable

evidence to prove or disprove the allegation. The term, therefore, does not imply guilt or innocence.

**Unfounded** – this indicates that the person making the allegation misinterpreted the incident or was mistaken about what they saw. Alternatively they may not have been aware of all the circumstances. For an allegation to be classified as unfounded, it will be necessary to have evidence to disprove the allegation.

**Deliberately invented or malicious** – this means there is clear evidence to prove there has been a deliberate act to deceive and the allegation is entirely false.

Where the concerns are substantiated, employing or volunteer agencies should consult if not already done so with the Disclosure and Barring Service (DBS) and other relevant professional bodies about the requirement for a referral.   (Further information and guidance from the DBS can be obtained from their website at www.homeoffice.gov.uk/dbs).

In some cases, there will be a legal duty for the employer to make a referral to the Disclosure and Barring Service. In other cases where the concerns are unsubstantiated it may still be appropriate to refer to DBS. This should be considered for discussion in the outcome strategy meeting. There is further information available in appendix 6 below.

**11. Cross Boundary Issues:**

This is an area of work that is best supported by sound inter-authority working. Where child or adult protection enquiries have been made in one area, but the alleged perpetrator lives or works within other areas, there will be need for information to be shared between the two areas.

The LADO/Designated Officer for Safeguarding must ensure that they share all information with their counterpart in the other Local Authority.

It is usually the responsibility of the Local Authority where the alleged abuse took place /concern arose to hold the Professional Strategy Meeting. After discussion between LADOs/Designated Officers for Safeguarding it will be decided and recorded which authority will be responsible for convening the Professional Strategy Meeting and the reasons why.

**12.** **Confidentiality and Record of the Professional Strategy Meeting**

In view of the potential sensitivity of the information and the lessons of the Bichard Inquiry, (police.homeoffice.gov.uk/publications/bichard-inquiry-report), care should be taken in recording the concern and the outcome of the process.

A record of the meeting will be made and retained by the local authority in accordance with their record, retention, and disposal policy. Attendees representing the employer should receive a copy of the summary and recommendations of the meeting with the child’s or adult at risk's name removed. All other attendees will receive a copy of the summary and recommendations.

The LADO/Designated Officer for Safeguarding will consider any request for a full record of the meeting and ensure that in the event of disclosure, an appropriately redacted version of the record is disclosed.

Where the person makes a data subject access request for the record of the Professional Strategy Meeting, this will be considered and the LADO/Designated Officer for Safeguarding will ensure redaction the document prior to disclosure. Other meeting attendees will be made aware of the request and can be sent a copy of the redacted document if requested

**13. Resolving Professional Differences**

Where there is a professional difference of opinion, reference should be made to the CTMSB policy Concerns Regarding Inter-Agency Safeguarding Practice.

The Appendices attached to this document aim to provide a framework that both informs and supports best practice.

**Appendix 1: Process map**

**Appendix 2: Chair’s Statement and Confidentiality Agreement**

**Appendix 3: Initial Professional Concern Strategy Meeting Agenda**

**Appendix 4: Review Professional Concern Strategy Meeting Agenda**

**Appendix 5: Outcome Professional Concern Strategy Meeting Agenda**

**Appendix 6: Employers Risk Assessment Example**

**Appendix 7: Disclosure and Barring Service**

**Appendix 8: Chair’s letter to subject**

**Appendix 9: Record of a Professional Strategy Meeting**

**Appendix 10: Guidance and Information for everyone who works with children, young people or adults at risk when an allegation has been made against you**

**Appendix 11: Guidance and Information for foster carers, kinship carers and Adult Placement Carers when an allegation has been made against you**

**Appendix 1**

**Process Map: Referrals about people whose work brings them into contact with children or adults at risk**







































**Appendix 2: Chair’s Statement and Confidentiality Agreement**



# Professional Concern Strategy Meeting

### Introduction and Confidentiality Statement

This meeting has been convened under the Wales Safeguarding Procedures and Cwm Taf Morgannwg Safeguarding Board Protocol.

* The content of this meeting and the records are confidential and should not be shared outside of this meeting without the permission of the Chair.
* The Record of the Meeting may be subject to requests for disclosure under the Data Protection Act 2018 and the General Data Protection Regulations (GDPR). Each request will be considered on its merits. The Chair will consider any request for a full record of the meeting and ensure that in the event of disclosure, an appropriately redacted version of the Record is disclosed.
* All agencies should ensure that the minutes are retained in a confidential and appropriately restricted manner.
* The Record of the Meeting will reflect that all individuals who are discussed are treated fairly, with respect and without improper discrimination.
* The meeting may make recommendations to agencies who are expected to carry out the actions or notify the Chair of any decision to change or not carry out an action.

**N.B.**  This meeting may be digitally recorded in order to assist the minute taker.  The recording will be passed to Police if a criminal investigation is being conducted in relation to the incident. Otherwise, the recording will be retained until the final version of minutes is approved.  The recording will then be destroyed.

**Equality Statement:**

All public services must comply with the Equality Act 2010 and the Human Rights Act 1998. Both Acts require that no-one is discriminated against or treated less favourably because of their 'protected characteristics'. These are age, disability, gender re-assignment, pregnancy and maternity, race, religion or belief, sex or sexual orientation. Should any unlawful discriminatory comments be made, the Chair may intervene to challenge and strike those comments from the record of the meeting.

Adult details (against whom concern raised)

Name………..…. …………DOB …….……….……

Address………………………………….. …………….…….

Organisation and Profession ……………………… …………………

Place of Work ……. ……..……………..

## Child/ren or Adults details

# Name…………. …………… DOB ………………………

Address …………………………………………………..……

………………………………………………………………

**I confirm my commitment to the above statement.**

|  |  |  |
| --- | --- | --- |
| Name | Role/job title and secure email address | Signature |
|  |  |  |
|  |  |  |
|  |  |  |
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**Appendix 3: Initial Professional Concern Strategy Meeting Agenda**

**Initial Professional Concern Strategy Meeting Agenda**

1. Opening remarks by Chairperson
2. Confirmation of basic information
3. Reason for Strategy Meeting
4. Information sharing

* The concern
* Information relating to child/ren or adult
* Information relating to adult against whom concern raised
* Contact with other children or adults

1. Discussion and analysis of information
2. Summary
3. Decisions and recommendations

* Child’s/Adults needs, risk of harm
* Need for s.47 and/or criminal investigation
* Risk of harm to other child/ren or adults
* Disciplinary issues
* Needs of adult against whom concern raised
* Who will update subject of allegation/parent/child/adult and **exactly** what information will be shared with them.
* Consideration of need for referral to DBS/Regulatory Bodies

1. Date of next meeting as required
2. **Notes**

Where the subject of the meeting is a Foster Carer or Adult Placement there are additional

considerations:-

* Consideration of risk to all children or adults in placement
* Service Manager to be consulted about arrangements for those in placement and endorse any decision for children, young people or adults to remain in placement.
* Consider the safeguards for children of the Foster Carer/Adult Placement Carers.
* No new placements should be made during the enquiries

**Appendix 4: Review Professional Concern Strategy Meeting Agenda**

**Review Professional Concern Strategy Meeting Agenda**

1. Opening remarks by Chairperson

2. Confirmation of basic information

3. Reason for strategy meeting-allegation and risk identified

4. Minutes of previous meeting:

a) Accuracy

b) Outcome of any actions taken

5. Information sharing

* The concern or any new concerns
* New information relating to child/ren or adults
* New information relating to adult against whom concern raised including views about the allegation or concerns
* Contact with other children or adults
* Identified risks
* Wishes and feelings of child/adults and parent/family or carers

6. Discussion and analysis of information

7. Summary

8. Decisions and recommendations

* Child’s/Adult's needs, risk of harm
* Need for s.47 and/or criminal investigation
* Risk of harm to other child/ren or adults
* Disciplinary issues
* Needs of adult against whom concern raised
* Consideration of need for referral to DBS/Regulatory Bodies
* Who will update subject of allegation/parent/child/carers and **exactly** what information will be shared with them.
* Consideration of need for referral to DBS/Regulatory Bodies

9 Date of next meeting as required.



**Appendix 5: Outcome Professional Concern Strategy Meeting Agenda**

**Outcome Professional Concern Strategy Meeting Agenda**

1. Opening remarks by Chairperson

2. Confirmation of basic information

3. Reason for strategy meeting

4. Minutes of previous meeting:

a) Accuracy

b) Outcome of any actions taken

5. Information sharing

* New information relating to adult against whom concern raised including views about the allegation or concerns
* New information and outcome of enquiries

6. Discussion and analysis of information

* Establish key facts.
* Distinguish fact from opinion.
* Those present consider whether on the balance of probability the concerns are substantiated

7. Summary

8. Decisions and recommendations

* Child’s/adults needs, risk of harm
* Need for further s.47 and/or criminal investigation
* Risk of harm to other children/adults and actions needed
* Disciplinary issues
* Needs of adult against whom allegation was made or concern raised
* Who will update subject of allegation/parent/child/carers and **exactly** what information will be shared with them.
* Consideration of need for referral to DBS/Regulatory Bodies
* Planning for Foster Care Review/Adult Placement and consideration by Panel in the case of a Carer.
  + Information to IRO in the case of a Looked After Child
  + Chair's letter to subject advising of outcome:

**Outcomes from the strategy meeting**

Allegations will have outcomes within the following four categories:

**Substantiated** – a substantiated allegation is one which is established by evidence or proof.

**Unsubstantiated** – an unsubstantiated allegation is not the same as an allegation that is later proved to be false. It simply means that there is insufficient identifiable evidence to prove or disprove the allegation. The term, therefore, does not imply guilt or innocence.

**Unfounded** – this indicates that the person making the allegation misinterpreted the incident or was mistaken about what they saw. Alternatively, they may not have been aware of all the circumstances. For an allegation to be classified as unfounded, it will be necessary to have evidence to disprove the allegation.

**Deliberately invented or malicious** – this means there is clear evidence to prove there has been a deliberate act to deceive and the allegation is entirely false.

**Appendix 6: An example of an Employer’s Risk Management Record**

### Risk Assessment Template

**The following are examples of factors that may need to be considered:**

|  |  |
| --- | --- |
| **Alleged Incident:**  Duration and frequency of alleged abuse  Degree of threat or coercion  Extent of premeditation  Degree and nature of harm |  |
| **Information regarding staff member:**  Previous recorded concerns  Previous allegations (including outcomes)  Response to incident/allegation  Contact with pupil/child/young person/adult  Teaching or any other duties  Experience  Training  Last CRB outcome  Outcome of section / references |  |
| **Information regarding the child/adult:**  Age and level of understanding  Special needs and vulnerability  Impact on health and development  Previous allegations made |  |
| **Information regarding the parent/carer:**  Response to allegation  Previous allegations made |  |

**Once completed please use the information to populate/inform your risk analysis/management plan**

**Name and signature of manager completing form:**

**Date:**



# Risk management Plan/Review

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Potential Risks and supporting evidence** | **Protective/reassuring factors and supporting evidence** | **Agreed Action** | **Responsible officer** | **Timescale for Review** |
|  |  |  |  |  |
|  |  |  |  |  |
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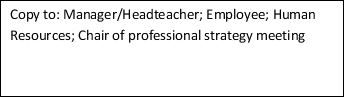
**Date of plan**

**Name and signature of responsible manager:**

**Name and signature of employee:**

**Any areas of disagreement/comments:**





**Appendix: 7**

**Considering Referring to the Disclosure and Barring Service (DBS)**

The following information is from Gov.uk guidance:

## Legal duty to refer: the two conditions that must be met

If you are a regulated activity provider or fall within the category of personnel supplier, you must make a referral when both of the following conditions have been met:

### Condition 1

* you withdraw permission for a person to engage in regulated activity with children and/or vulnerable adults. Or you move the person to another area of work that isn’t regulated activity.

This includes situations when you would have taken the above action, but the person was re-deployed, resigned, retired, or left. For example, a teacher resigns when an allegation of harm to a student is first made.

### Condition 2

You think the person has carried out 1 of the following:

* Engaged in relevant conduct in relation to children and/or adults. An action or inaction has harmed a child or vulnerable adult or put them at risk or harm or;
* Satisfied the harm test in relation to children and / or vulnerable adults. eg there has been no relevant conduct but a risk of harm to a child or vulnerable still exists or
* been cautioned or convicted of a relevant (automatic barring either with or without the right to make representations ) offence

A person who is under a duty to refer and fails to refer to us without reasonable justification is committing an offence. If convicted they may be subject to a fine.

Further information including information about the “harm test” can be found here:

[https://www.gov.uk/guidance/making-barring-referrals-to-the-dbs#legal-duty-to-refer-the-two-conditions-that-must-be-met](https://www.gov.uk/guidance/making-barring-referrals-to-the-dbs%23legal-duty-to-refer-the-two-conditions-that-must-be-met)

Discussing referrals with the disclosure and barring service in other circumstances:

As the above definition used in the procedures for the term unsubstantiated indicates that there is some evidence to support the allegations of harm and/or misconduct, but not enough to meet the substantiated category, some cases may still be appropriate to refer to DBS.

In cases following investigation where the outcome is not substantiated, but there is some evidence to support an allegation, or where an organisation still believes a risk of harm exists, then the employer or volunteer agency should still contact DBS to make a referral, or to discuss the requirement for a referral.

It is essential that DBS is provided with information and evidence available following an internal investigation where there is a risk of harm, DBS has no investigatory powers, so rely on the information provided by referring employers and organisations. This is important even in cases where an organisation has evidence of a risk of harm but does not feel it has sufficient evidence to make a formal disciplinary decision, because it allows DBS to assess this evidence and any other evidence they may have in relation to the individual. They can then establish a bigger picture of an individual and, taking everything into account, the potential safeguarding risk they pose.

**Appendix 8 - Chair's letter to subject**

To:

|  |
| --- |
|  |

From:

Address:

Telephone No:

Dear

**Private & Confidential**

A Professional Strategy Meeting and investigation, in line with Wales Safeguarding Procedures, was completed on……………….20.., in respect of an (historic) allegation of ………..made against you while you were carrying out your duties at ………….

The finding of this process was…………… (insert outcome of investigation) and this outcome will be forwarded to…………(regulatory body- where relevant) . Your employer will communicate with you with regards to the implications of this.

If you have any questions regarding the process or the outcome of the meeting. these need to be initially discussed with your employer but you are able to contact me on ………….

Yours sincerely

**Appendix 9: Record of a Professional Strategy Meeting**

**Record of Professional Concern Strategy Meeting**

This provides a record of the decisions of a strategy meeting. These minutes are strictly confidential and should not be shared without the permission of the Chair.

All agencies should ensure that the minutes are retained in a confidential and appropriately restricted manner.

**DETAILS OF PERSON ABOUT WHOM ALLEGATIONS ARE BEING MADE**

|  |
| --- |
| *surname*       *first name* |
| *DoB* *Gender: Male*  *Female* |
| *Address* |
| *Postcode*       *Tel.* |
| *ID:* |
| *Profession, Employer & place of work (including voluntary work or in any capacity which involves contact with children or adults)* |
| *Names and ages of children or adults in household*  |  |  |  | | --- | --- | --- | | Name | DOB | Relationship to person about whom allegation made | |  |  |  | |  |  |  | |  |  |  | |
|  |



**CHILD/ADULT DETAILS**

|  |  |
| --- | --- |
|  | surname       fist name |
|  | *D.O.B or expected date of delivery* *Gender: Male  Female Unborn* |
|  | *Address* |
|  | *Postcode*      *Tel.* |
|  | *ID:* |

**DISCUSSION DETAILS**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Date of meeting:       Initial Review Outcome  **Agencies involved in strategy meeting:**   |  |  |  |  | | --- | --- | --- | --- | | Name | Agency | Role | Tel No | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |



|  |  |  |  |
| --- | --- | --- | --- |
| Agencies who were invited but did not attend the Strategy Meeting | | | |
| Name | Agency | Role | Tel No |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

All allegations of abuse of children/adults by a professional (including a professional in training), staff member, carers or volunteer should be taken seriously and treated in accordance with this procedure which is compatible with the Wales Safeguarding Procedures

This section applies to all staff employed by, or volunteers used or accredited by any public, voluntary or private agency, whose work brings them into contact with children or vulnerable adults. This section also applies to professionals who abuse in their private capacity and, in such circumstances, careful consideration needs to be given to whether the employee presents a risk in the professional context.

|  |
| --- |
| **REASON FOR AND PURPOSE OF STRATEGY DISCUSSION – details of the initial allegation or concern raised and of any previous meetings re this concern.** |



**INFORMATION SHARING**

|  |
| --- |
| **(a) The concern, details of allegation**  **(b) The child/adult at risk**  **(c) Other children/adults potentially at risk or involved, including the children or adults in the family of the person against whom the concern has been raised.** |

**OUTCOME OF ANY ACTIONS TAKEN FROM PREVIOUS MEETINGS**

|  |
| --- |
|  |

**INFORMATION SHARING – person about whom allegations are being made**

|  |
| --- |
|  |

**ANALYSIS OF INFORMATION**

|  |
| --- |
|  |

**SUMMARY**

|  |
| --- |
|  |

**DECISION(S) (Please tick appropriate box(es))**

|  |
| --- |
| S47 Enquiries as part of  Core assessment  Core assessment (s17)  Police investigation(s)  Referral to other agency  Initial Assessment  No further action  Other  If ‘Other’ please state.    **Medical examination required:** Yes No  **OUTCOME MEETING ONLY**  **Substantiated**  **Unsubstantiated**  **Unfounded**  **Deliberately invented or malicious** |
| Where there are allegations of abuse made against a professional, foster-carer or volunteer, s47 enquiries, a police investigation and disciplinary procedures may be taking place concurrently |

**Outcomes from the strategy meeting**

Allegations will have outcomes within the following four categories:

**Substantiated** – a substantiated allegation is one which is established by evidence or proof.



**Unsubstantiated** – an unsubstantiated allegation is not the same as an allegation that is later proved to be false. It simply means that there is insufficient identifiable evidence to prove or disprove the allegation. The term, therefore, does not imply guilt or innocence.

**Unfounded** – this indicates that the person making the allegation misinterpreted the incident or was mistaken about what they saw. Alternatively they may not have been aware of all the circumstances. For an allegation to be classified as unfounded, it will be necessary to have evidence to disprove the allegation.

**Deliberately invented or malicious** – this means there is clear evidence to prove there has been a deliberate act to deceive and the allegation is entirely false.

**FURTHER ACTIONS AND RECOMMENDATIONS (include any further actions required, by whom and within what time scale)**

|  |  |  |
| --- | --- | --- |
| **Action(s) to be taken** | **Person/agency responsible** | **Date for completion** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

|  |
| --- |
| Name and signature (Coordinator responsible for Strategy Meeting)    Date |



**Appendix 10:**



**Guidance and Information for everyone who works with children, young people or adults at risk when an allegation has been made against you**



**1. Introduction.**

This leaflet aims to provide you with information about what happens if an allegation of abuse or neglect is made against you.

It is always important that such allegations are taken seriously and investigated properly, as there are occasions when children/adults are abused by people who are working with, or caring for them.

Becoming the subject of an allegation is very stressful for the individual and their family, and everyone involved in an investigation will work to ensure that children/adults are safeguarded whilst at the same time treating you fairly. You will be provided with support during an investigation and kept informed about what is happening.

**2. What happens when an allegation is made?**

The complaint may have been made by a child, adult, parent, carer or another worker. All employers are required to tell Social Services about any child/adult protection allegations against their staff and your organization’s own policies will explain this in more detail. However anyone who has concerns about a person who works with children or adults at risk must report their concerns to Children’s/Adult Services.

If a child/adult protection concern has been raised about you outside of your work, it is your duty to tell your employer immediately. This concern may lead to further enquiries about your work and any contact you may have with children/adults outside your working life (e.g. as a volunteer, parent, carer or family member).

When Children’s/Adults Services receive a referral about a concern about anyone who works with children or adults at risk, they are required to arrange a Strategy discussion with the Police and other professionals who know the child/adult at risk involved to look at the information and make recommendations about further action. This discussion might identify that a strategy meeting is required to plan an investigation into to the allegation/concern and then to determine what needs to happen in response to the outcome of that investigation.

**3. Who will be at the strategy meeting?**

The meeting will be chaired by a senior member of Children’s/Adults Services and may include;

* Children’s Services staff
* Adults Services staff
* Police
* Your employer / Manager
* Human Resources or Personnel staff
* Head Teacher or Senior Education Officer if the child involved is of school age
* Senior Health professional
* Someone from the regulating body (as defined in the Regulations and Inspection of Social Care (Wales) Act 2016) e.g. if you are a foster carer, residential worker or child minder
* If you work with vulnerable adults then someone from the council’s Protection of Vulnerable Adults team will be asked to attend.
* Representative from Voluntary Organization

**4. What will happen at the strategy meeting?**

The strategy meeting will decide whether further enquiries will need to be made and what safeguards will be in place while those enquiries are happening.

The strategy meeting will also plan how you (and anyone else affected) will be supported through the enquiries. It is very important that you get the recommended support and advice so that you are prepared for and informed about what will happen.

You (or your representative) will not be involved in the the meeting, but the nature of the concern will be explained to you and you will be told if your employment will be affected. A decision may be made to suspend you from your work, but this is a neutral decision and does not imply guilt or innocence. The meeting will agree who will keep you updated and make sure that you have the support you need.

**5. What are the possible outcomes from the strategy meeting?**

* The meeting may decide that there will be no further action. If this is the case you will be provided with information and support and the Chair will write to you and confirm the outcome.
* The meeting may recommend that further enquiries need to be made and/or a criminal investigation will take place.
* The meeting may decide that enquiries and/or a criminal investigation are not warranted, however your organisation may decide to implement its own disciplinary procedures.
* The meeting may decide to reconvene when there is more information or there are further actions to be completed. There may be a number of strategy meetings held before the final decisions and recommendations are made. You

will be given as much information as possible and kept informed where appropriate of the progress of the investigation.

**6. Where can I get support and advice?**

You will be given support from your Manager where appropriate and can get more support from your human resources department, professional body, union or legal adviser.

Your organization may also have access to a counselling service that may help you.

You are always entitled to legal advice, information and support.

**7. Can I complain?**

Yes. If your complaint is about an individual you need to contact their Manager who will deal with your complaint. If you are not happy with the conduct of the investigation you should contact the Chair in the first instance.

**List of Helpful Contacts**

|  |  |
| --- | --- |
| **ROLE** | **NAME & CONTACT NUMBER** |
| Employer |  |
| Human Resources |  |
| Union Representative |  |
| Occupational Health |  |
| Staff Counselling |  |

**Appendix: 11**



Guidance and Information for foster carers, kinship carers and Adult Placement Carers when an allegation has been made against you

**1. Introduction.**

This leaflet aims to provide you with information about what happens if an allegation of abuse or neglect is made against you.

Becoming the subject of an allegation is very stressful for the carers, and their family. Everyone involved in an investigation will work to ensure that children and any adult at risk are safeguarded whilst at the same time treating you fairly. You will be provided with support during an investigation and kept informed about what is happening.

It is recognized that carers are often in a more difficult position when there are allegations or serious concerns about them than others who work with children or adults at risk as they are caring for vulnerable children or adults in their own homes. This guidance is designed to answer some of the issues most commonly raised by carers who have been subject to this process and to clarify exactly what you can expect in terms of the process itself and the support available to you.

**2. What happens when an allegation is made?**

The allegation will be referred in to Childrens/Adults Services or the Police and preliminary enquiries or an assessment will be carried out to decide whether there are grounds for taking further action under Wales Safeguarding Procedures. This means that a decision will be made about whether the referral is about an allegation that requires further investigation, or a concern or a complaint that should be dealt with by the agency you foster for.

**2.1** **Actions in respect of your position as a foster carer, kinship carer or adult placement carer**

All allegations against registered carers must be referred to Children's Services/Adult Services. The Social Services and Wellbeing Act places a legal duty on professionals to report a concern that a child or adult is or may be at risk..

If you are employed by an Independent Provider, your agency will also have to inform the Care Inspectorate Wales (CIW) of the allegation.

If a child/adult protection concern has been raised about your personal life or professional conduct, it is your professional duty to tell your Social Worker or their Manager immediately. This concern may lead to further enquiries about your fitness to be a carer.

**2.2** **Actions in respect of the children/adults you foster**

In addition to investigating the allegation, consideration has to be given to the safety of all the children/adults placed with you. Children's/Adults Services will assess what is in the children's/adults' best interests in making a decision about whether or not they can be remain in your care while the investigation is on-going. No further placements will be made with you while the process is on-going.

**2.3** **Actions in respect of children in your own family**

Children's/Adults Services may also need to complete assessments for any children or adults at risk in your family with whom you have close contact. This is done to establish whether there is a need to take steps to safeguard or support those children/adults at risk. The need for this action to be taken is decided in accordance with the nature and severity of the allegation.

**3. The strategy meeting**

If further action is necessary under Wales Safeguarding Procedures, a strategy meeting will be held. The meeting is held to ensure that all relevant information is shared and to plan what action needs to be taken to establish the facts of what has occurred and the impact on any child involved.

If a investigation is undertaken, this will be done by a Social Worker who has not previously been involved with you and is independent of the family placement/fostering/adult placement service in your Local Authority area.

**3. 1. Who will be at the strategy meeting?**

The meeting will be chaired by a senior member of Children’s/Adults Services and may include:

* Children’s/Adults Services staff - the relevant Managers, the Social Worker who completed any assessment to do with your own family, the Social Workers and Independent Reviewing officers for the child/children/adult you care for
* Police
* The Social Worker completing the investigation into the allegation
* The Manager of your Service and your Social Worker
* Any professionals with information about the child/children/adults you care for
* Someone from CIW/HIW

**3.2. What will happen at the strategy meeting?**

The strategy meeting will decide whether further enquiries will need to be made and what safeguards will be in place while those enquiries are happening.

The meeting will have to consider:

* All the children/adults placed with you and make recommendations as to whether they should remain with you while enquiries are being completed. The safety of the children/adults placed with you is the over-riding concern but their views should always be taken into account. If there is a change of placement, consideration should be given to the need for the children/adults to have contact with you.
* The safety and welfare of your own children, any other children or adults at risk with whom you have regular contact. Any assessments completed with these children/adults will be shared with the meeting.
* Any other employment or voluntary activity you are involved in which brings you into contact with children or adults at risk.

The Strategy Meeting will decide what information can be given to you about the allegation and the protection investigation, and by whom.

The Chair of the Strategy meeting will write to you to confirm this information and to inform you of any recommendations of further action in respect of you or any family members, as long as this would not place any children/adults at risk. The letter should also confirm who is available to support you and keep you informed.

The Strategy meeting will also plan how you (and anyone else affected) will be supported through the enquiries, and by whom. It is very important that you get the recommended support and advice so that you are prepared for and informed about what will happen. Foster Carers can access advice through Fostering Network and you can also request a referral from your Fostering Service to an Independent Social Worker. Adult Placement Carers can access support from Shared Lives Plus; you can request a referral through your line manager.

You (or your representative) will not be invited to the meeting, but the nature of the concern will be explained to you and you will be told if your care status will be affected. A decision may be made to suspend you from fostering/adult placement while the investigation is being completed but this is a neutral decision and does not imply guilt or innocence.

**4. What are the possible outcomes from the strategy meeting?**

* The meeting may decide that there will be no further action because the allegation is shown to be unfounded or malicious. If this is the case you will be provided with information and support and the Chair will write to you and confirm the outcome.
* The meeting may decide that there is to be an investigation under Wales Safeguarding Procedures. This can include a police investigation.
* The meeting may decide that child/adult protection enquiries and/or a criminal investigation are not warranted as there is not enough evidence to establish that the alleged incident occurred. However, if there are still concerns about what may have happened, the meeting can recommend that the organization you foster for should conduct its own investigation or implement its own relevant procedures.
* It may be decided that there should be a follow-up strategy meeting once more information has been gathered or there are further actions to be completed. There may be a number of strategy meetings held before the final decisions and recommendations are made. You will be given as much information as possible and kept informed where appropriate of the progress of the investigation.
* The decision reached by the Strategy meeting process is based on the balance of probabilities. At the final, or Outcome meeting, a decision will be made about whether the allegation is:

**⮚** **Substantiated** – a substantiated allegation is one which is established by evidence or proof.

**⮚** **Unsubstantiated** – an unsubstantiated allegation is not the same as an allegation that is later proved to be false. It simply means that there is insufficient identifiable evidence to prove or disprove the allegation. The term, therefore, does not imply guilt or innocence.

**⮚** **Unfounded** – this indicates that the person making the allegation misinterpreted the incident or was mistaken about what they saw. Alternatively they may not have been aware of all the circumstances. For an allegation to be classified as unfounded, it will be necessary to have evidence to disprove the allegation.

**⮚** **Deliberately invented or malicious** – this means there is clear evidence to prove there has been a deliberate act to deceive and the allegation is entirely false.

* You will receive a letter from the Chair of the meeting informing you of the outcome and explaining as fully as possible the reasons for the outcome. You can contact the Chair if you are not clear about the reasons, or disagree with them.
* For foster carers: A review of your status as an approved foster carer will be completed and a report presented to the Panel whatever the outcome of the investigation. This is a requirement under the Fostering Regulations and is detailed in your Foster Carer Handbook.
* For Adult Placement carers, the Registered Manager will make an initial decision regarding your status and then present this to the Panel.

**5. Where can I get support and advice?**

It is recognized that this process is often very stressful and upsetting for those personally affected and we are required in the strategy meeting to consider your need for support. You should expect personal support from your Supervising or Link Social Worker/ Registered Manager (Adult Placement) but they will not be able to discuss the allegation or the investigation with you as they are likely to be part of it. If you feel that this will make it more difficult for you to discuss your worries or feelings about what is happening, you can ask for contact with another member of your Fostering Service/Adult Placement Service. However, they will also be unable to discuss specifics of the allegation with you.

You should expect to be kept updated about the investigation and any Children's/Adults Services involvement with your own family.

**Fostering Network**

Internet address: <https://www.fostering.net/wales>

Telephone advice line 08003167664

**Shared Lives Plus**

Internet address: <https://sharedlivesplus.org.uk>

Telephone advice line 0151 227 3499

**6. Can I complain?**

Yes. If your complaint is about an individual you need to contact their Manager who will deal with your complaint. If you are not happy with the conduct of the investigation of the allegation against you, you should contact the Chair of the Strategy Meeting in the first instance.

**List of Helpful Contacts**

|  |  |
| --- | --- |
| **ROLE** | **NAME & CONTACT NUMBER** |
| Employer |  |
| Support Worker /Supervising Social Worker |  |
| Independent social Worker |  |
| Human Resources |  |
| Union Representative |  |
| Occupational Health |  |
| Staff Counselling |  |