



London Borough of Waltham Forest

Draft

COMPLAINT / ALLEGATION INVESTIGATION REPORT TEMPLATE

Early Years, Childcare & Business Development Service

COMPLAINT / ALLEGATION INVESTIGATION REPORT

CONFIDENTIAL

Please note before you proceed:

Where the complaint/incident/allegation meets the threshold for reporting to the Council’s Local Authority Designated Officer (LADO), Investigations **should not be carried out** before being instructed to do so by the LADO, as this could impact any subsequent LADO, Ofsted or Police investigation.

If at the point of commencing the investigation the LADO threshold was not met, but at any point during the investigation it becomes apparent that the LADO threshold has been met, the investigation should be **suspended**, and a referral to the LADO should be made. The investigation **should not be restarted** before being instructed to do so by the LADO, as this could impact any subsequent LADO, Ofsted or Police investigation.

Further information regarding the LADO role and thresholds can be found below [LADO Introduction letter](#) from Gill Nash (Designated Officer) – The Hub registration is required to view this [Waltham Forest Safeguarding Children Board \(WFSCB\)](#)

This report should be treated as strictly confidential and is covered by the General Data Protection Regulations/Data Protection Act.

This template report format is for guidance purposes only and may be changed to reflect the individual circumstances/needs of a case.

Investigation report for an allegation/complaint of:	Here give the details of the complaint/allegation. If appropriate you can split into the different categories
Type of Investigation e.g. Allegation/Disciplinary/ Grievance etc.	
Name of employee(s) subject to investigation	
Job Title of the Post Holder	It may be helpful to put here some of their duties as well.
Name of complainant (if appropriate)	
Investigator (s)	
Date investigation commenced	
HR Support Link	

Background

This may cover:

- How did the issue come to light?
- Have any other actions been taken prior to the investigation?

When we are thinking about an allegation context is very important. There may be a history of complaints; a staff member you already have concerns about; a client group where complaints may be more likely due to the nature of the work

Remit Of The Investigation

This may cover:

- What specific allegations/concerns were investigated (bullet point each allegation/concern)

Investigation Process

This may cover:

- A brief description of method(s) used to gather information
- A record of who was interviewed
- Any documents that were reviewed
- The timeline/chronology of significant/relevant events
- Review of policies/procedures that should have been followed (EYFS statutory framework and internal)
- Correspondence, emails documentation that will be reviewed

Think about here – what reports/ evidence you used. Safeguarding record sheets; staff and child interviews; CCTV

Witnesses

- List of witnesses interviewed; dates and by whom
- CCTV

Findings

This should cover:

- A summary of findings taking into consideration the allegations, observations and evidence for each specific allegation/issue of concern investigated, cross-referencing any documentation where needed.

Conclusions

This may cover:

- For each concern/allegation investigated an overall opinion based 'on the balance of probabilities' on whether there is evidence to support allegations made
- If the allegations/complaints are upheld – substantiated; not substantiated malicious, unfounded;
- **Recommendations** on whether further actions under the relevant employment procedure should be taken – Where the LADO or police are involved in the investigation please contact the LADO for advice as to whether undertaking any employment/disciplinary action would impact on any investigation

Appendices	
<ul style="list-style-type: none"> • These should be attached and may include witness statements, investigatory interview notes/statements, timeline/chronology of events etc. 	
Date investigation completed	
Signed by Investigating Officer(s)	
Date	

If applicable

Date sent to the LADO	
Date feedback received from the LADO and copy of feedback	
Close date to the LADO	

Date sent to Ofsted	
Date feedback received from Ofsted and copy of feedback	
Close date to Ofsted	

Date sent to Police	
Date feedback received from Police and copy of feedback	
Close date to Police	

Further actions -	This may include – date of further referrals such as to DBS, regulatory bodies etc
Conclusion of additional actions	Such as Disciplinary panel outcomes