

This form is for use when making a referral (i.e. providing information) to the Independent Safeguarding Authority. A referral is made when there is harm or risk of harm to children or vulnerable adults in the work place (paid or voluntary), *relevant conduct* has occurred or an individual has received a caution or conviction for a *relevant offence*.

Please read the accompanying *ISA Referral Guidance* to understand your duty in relation to making a referral to the ISA and in providing information requested by the ISA.

All information provided to the ISA will be handled in accordance with the Data Protection Act 1998.

Detailed information on the ISA and the Vetting and Barring Scheme can be found on the ISA website [www.isa.gov.org.uk](http://www.isa.gov.org.uk)

**Please download or print out this form and complete in black ink making sure that all information is clearly legible. All documents provided with the Referral Form should be originals or clearly legible copies. If you do not hold the information requested, please leave the section blank. If more space is needed please attach additional sheets at the back of the Referral Form.**

## Referral Form Information

**Part 1: The individual being referred and their job or role**

**Part 2: The referring party**

**Part 3: The harm (*relevant conduct*) or risk of harm**

**Part 4: Documentation - investigations, information & evidence**

**Part 5: Referral documentation checklist**

**Part 6: Declaration by referring party**

**Part 7: Checking and posting the ISA Referral Form**

**Part 8: Data Protection Statement**

The following documents are relevant for Part 1 and should be sent to the ISA with the completed Referral Form if you have them.

- ◆ Job Description / Role Statement / Person Specification
- ◆ Application for employment
- ◆ References
- ◆ Interview report
- ◆ Letter of employment
- ◆ Documentation on any past disciplinary action or complaints
- ◆ Dismissal / resignation letters
- ◆ File notes concerning conduct, behaviour or attitude

### Part 1: The Individual being referred

ISA Registration Number

Surname

Forename(s)

Title

Other names 1: aliases

Other names 2: maiden names

Gender (please indicate) - Male  Female

Date of Birth (DD/MM/YYYY)

Nationality

National Insurance Number

Teachers Pension Number  /   
England and Wales (if applicable)

Northern Ireland Teacher Reference Number   
(if applicable)

### Professional Membership

Professional Regulator

Registration Number

Date of first Registration (DD/MM/YYYY)

### Last Known Home Address

Address Line 1   
Address Line 2   
Address Line 3   
Address Line 4   
Postcode

### Current Postal Address (if different from home address)

Address Line 1   
Address Line 2   
Address Line 3   
Address Line 4   
Postcode

### Previous Home Addresses (if at last known address less than 3 years)

Address Line 1   
Address Line 2   
Address Line 3   
Address Line 4   
Postcode

### Contact Telephone Numbers

Work   
Home   
Mobile

## The Individual being Referred's Job or Role

Title of Position Held

Date Appointed to the Position Held (DD/MM/YYYY)

Main Duties/Responsibilities

Qualifications held by Individual

Training Undertaken by Individual in Current Post

Training Undertaken by Individual in Previous Posts (if known)

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Previous Employment / Volunteering History (if known)

Organisation	Job Title/Role	From (DD/MM/YY)	To (DD/MM/YY)

History of any Misconduct, Disciplinary Action or Complaints (if known)

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If Still Employed / Volunteering – Current Job, Role and Duties

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If No Longer Employed / Volunteering – Date Employment Ceased (DD/MM/YYYY)

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Reason for Employment / Volunteering Ceasing (please tick one)

Dismissed

Resigned

Retired

## Part 2: The Referring Party

Name of Referring Organisation/Person

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Type of Organisation eg, School, Care Home etc  
 (if school what category or type of school).

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### Address

Address Line 1

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Address Line 2

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Address Line 3

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Address Line 4

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Postcode

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### Primary Contact Officer

Name

--

Position

--

Telephone Number

--

Mobile Number

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Email Address

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### Alternative Contact Officer

Name	
Position	
Telephone Number	
Mobile Number	
Email Address	

### Part 3: The Harm (Relevant Conduct) or Why You Think there is a Risk of Harm

The following documents are relevant for Part 3 and should be sent to the ISA with the Referral Form if you have them.

- ◆ Statement by the Referred Individual about what happened
- ◆ Harm Assessment Report

Please provide a brief summary of the *relevant conduct*, harm or risk of harm.

Please provide details of the harm caused (or risk of harm) to the child or vulnerable adult and how this harm was assessed.

Has the referred person admitted or accepted responsibility for the *relevant conduct*, harm or risk of harm?

Yes                       No

**Please provide details of the child or vulnerable adult harmed**

Name

Date of Birth (DD/MM/YYYY)    Or approx. age if DOB unknown

Gender (please indicate) - Male       Female

Details of any vulnerability, eg, emotional, behavioural, medical or physical

Relationship between referred person and person harmed

**Please attach additional sheets if more than one child or vulnerable adult harmed.**



Please provide a chronology of events in relation to the harm (*relevant conduct*) or why you think the person you are referring may pose a risk of harm.

The chronology should provide in date and time order, a complete, clear and accurate description of what happened, what action has been taken and why. You need to be specific on details - dates, times, locations, what happened, who was involved who witnessed the event(s), who did what and who said what. When providing a chronology of events please refer to the ISA Referral Guidance for further information and see the example below.

### Example

Date (DD/MM/YYYY)	Events	Relevant Documents	Persons Involved
01/01/2009	Allegation made against member of staff by colleague	Written allegation	Member of staff, Senior Manager
02/01/2009	Allegation put to individual	Individuals statement/ denied allegation	Individual, Senior Manager

### Chronology of Events

Date (DD/MM/YYYY)	Events	Relevant Documents	Persons Involved

### Part 4: Investigations, Information and Evidence

In this section you are not required to provide any information other than the documents requested if you have them. The documents listed below are representative of the information required by the ISA in order to process your referral. If you have additional documentation you believe is relevant please include it and complete section 5 accordingly.

The following documents are relevant for Part 4 and should be sent to the ISA with the completed Referral Form if you have them.

- ◆ **Witness Statement(s)**
- ◆ **Harmed person's care plan (where appropriate)**
- ◆ **Details of internal investigations and outcome**
- ◆ **Details of internal disciplinary action and outcome**
- ◆ **Police investigations and reports**
- ◆ **Local Authority / Health and Social Care Trust investigations and reports including Adult Social Care and Children's Services reports and minutes of Strategy Meetings**
- ◆ **Investigations and reports of any other regulatory bodies**
- ◆ **Investigations and reports of any other agencies or bodies**
- ◆ **Victim Impact Report or statement(s) including details of who made the assessment and their position or qualifications to make the assessment**
- ◆ **Any other information either listed in the chronology or relevant to decision making by the ISA**

### Part 5: Referral Document Checklist

The following documents should be provided with the Referral Form if you have them.

Please tick all the documents (originals or clearly legible copies) that you are providing with this referral:

- Job Description / Role Statement / Person Specification
- Application for employment
- References
- Interview Report
- Letter of Employment
- Documentation on any past disciplinary action or complaints
- Dismissal / resignation letters
- File notes concerning conduct, behaviour or attitude
- Statement by Referred Individual about what happened
- Witness Statements
- Harmed person(s) Care Plan
- Details of internal investigations and outcome
- Details of internal disciplinary action and outcome
- Police investigations and reports
- Local Authority investigations / Health and Social Care Trust Investigations and reports including Adult Social Care or Children's Services reports and minutes of Strategy Meetings
- Investigations and reports of any regulatory bodies
- Investigations and reports of any other agencies or bodies
- Victim impact report or statement(s)

Please list any other relevant document(s) you are providing with the referral.

Please list any relevant documents that you have/ or are aware of others having, but you are **not** providing with this referral. Please outline the reasons why you are **not** providing the document(s) and who has the document if it is not in your possession.

Relevant Document	Reason the document is not provided with this referral	Who holds this document

## Part 6: Declaration

**I confirm to the best of my knowledge that the information contained in this form is complete and accurate and that all relevant documents that I hold are either provided with the Referral Form or recorded in Part 5.**

Signature

Name (in print)

Position

Organisation

Relation to individual being referred

Date (DD/MM/YYYY)


## Part 7: Checking and Posting the ISA Referral Form

Please check that you have answered all the questions that you can on the ISA Referral Form, signed the Declaration and enclosed the documentary evidence you have listed in Part 5.

**Post the completed ISA Referral Form and documentary evidence, suitably secured and marked CONFIDENTIAL to:**

<p>Independent Safeguarding Authority          PO Box 181          Darlington          DL1 9FA</p>
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## Part 8: Data Protection Statement

The Independent Safeguarding Authority respects individual privacy and has notified (registered with) the Information Commissioner, who is responsible for the administration of the Data Protection Act 1998.

The Independent Safeguarding Authority obtains and processes “*personal data*” (as defined by the Act) for the purpose of administering its statutory functions under the Safeguarding Vulnerable Groups Act 2006 and associated legislation. In addition, the Independent Safeguarding Authority may use information for the purpose of fulfilling its statutory responsibilities under the Data Protection Act 1998.

Information will be kept secure and confidential, and will only be disclosed to those parties who have a legal and legitimate need to know.