



## 39. Whistleblowing Policy

### Aims of Policy

Seer Green Pre-School is committed to the highest standards of openness, probity and accountability. An important aspect of accountability and transparency is to have in place a mechanism to enable staff to voice concerns in a responsible and effective manner. It is a fundamental term of every contract of employment that an employee will faithfully serve his or her employer and not disclose confidential information about the employer's affairs. Nevertheless, where an individual discovers information which they believe shows serious malpractice or wrongdoing within the organization, then this information should be disclosed internally without fear of reprisal, and there should be arrangements to enable this to be done independently of line management if necessary. Seer Green Pre-School has endorsed the provisions set out below so as to ensure that no members of staff should feel at a disadvantage in raising legitimate concerns.

It should be emphasised that this policy is intended to assist individuals who believe they have discovered malpractice or impropriety. It is not designed to question financial or business decisions taken by the Pre-School nor should it be used to reconsider any matters which have already been addressed under harassment, complaint, disciplinary or other procedures. Once the "whistleblowing" procedures are in place, it is reasonable to expect staff to use them rather than air their complaints outside of the Pre-School.

Please refer to the Pre-School's 'Safeguarding Children' policies (Policies 22 to 30) for details of the procedures for notifying concerns that may pertain to child abuse.

### Scope of Policy

This policy is designed to enable employees of Seer Green Pre-School to raise concerns internally and at a high level and to disclose information which the individual believes shows malpractice or impropriety. This policy is intended to cover concerns which are in the public interest and may at least initially be investigated separately but might then lead to the invocation of other procedures e.g. disciplinary. These concerns could include:

- Financial malpractice or impropriety or fraud
- Failure to comply with a legal or statutory obligation
- Dangers to Health & Safety or the environment
- Criminal activity
- Improper conduct, unethical, or discriminatory behaviour
- Attempts to conceal any of these

## **Safeguards**

### **i. Protection**

This policy is designed to offer protection to those employees who disclose such concerns provided the disclosure is made:

- in good faith
- in the reasonable belief of the individual making the disclosure that it tends to show malpractice or impropriety and if they make the disclosure to an appropriate person (see below). It is important to note that no protection from internal disciplinary procedures is offered to those who choose not to use the procedure. In an extreme case malicious or wild allegations could give rise to legal action on the part of the person(s) complained about.

### **ii. Confidentiality**

Seer Green Pre-School will treat all such disclosures in a confidential and sensitive manner. The identity of the individual making the allegation may be kept confidential so long as it does not hinder or frustrate any investigation. However, the investigation process may reveal the source of the information and the individual making the disclosure may need to provide a statement as part of the evidence required.

### **iii. Anonymous Allegations**

This policy encourages individuals to put their name to any disclosures they make. Concerns expressed anonymously are much less credible, but they may be considered at the discretion of Seer Green Pre-School.

In exercising this discretion, the factors to be taken into account will include:

- The seriousness of the issues raised
- The credibility of the concern
- The likelihood of confirming the allegation from attributable sources

### **iv. Untrue Allegations**

If an individual makes an allegation in good faith, which is not confirmed by subsequent investigation, no action will be taken against that individual. In making a disclosure the individual should exercise due care to ensure the accuracy of the information. If, however, an individual makes malicious or vexatious allegations, and particularly if he or she persists with making them, disciplinary action may be taken against that individual.

## **Procedures for Making a Disclosure**

On receipt of a complaint of malpractice, the member of staff who receives and takes note of the complaint, must pass this information as soon as is reasonably possible, to the appropriate designated investigating officer as follows:

- Complaints of malpractice will be investigated by the Pre-School Leader and a member of the Committee unless the complaint is against the Pre-School Leader or is in any way related to the actions of the Pre-School Leader. In such cases, the complaint should be passed to the Committee Chairperson for referral.
- In the case of a complaint, which is any way connected with but not against the Pre-School Leader, the Committee Chairperson will nominate two members of the Committee to act as the alternative investigating officers.
- Complaints against the Committee Chairperson should be passed to the Pre-School Leader who will nominate an appropriate independent investigating officer.
- The complainant has the right to bypass the line management structure and take their complaint direct to the Committee Chairperson. The Committee Chairperson has the right to refer the complaint back to the Pre-School Leader if he/she feels that the Pre-School Leader without any conflict of interest can more appropriately investigate the complaint.

If there is evidence of criminal activity then the investigating officer should inform the police. The Committee will ensure that any internal investigation does not hinder a formal police investigation.

## **Timescales**

Due to the varied nature of these sorts of complaints, which may involve internal investigators and / or the police, it is not possible to lay down precise timescales for such investigations. The investigating officer should ensure that the investigations are undertaken as quickly as possible without affecting the quality and depth of those investigations.

The investigating officer, should as soon as practically possible, send a written acknowledgement of the concern to the complainant and thereafter report back to them in writing the outcome of the investigation and on the action that is proposed. If the investigation is a prolonged one, the investigating officer should keep the complainant informed, in writing, as to the progress of the investigation and as to when it is likely to be concluded.

All responses to the complainant should be in writing and sent to their home address.

## **Investigating Procedure**

The investigating officer should follow these steps:

- Full details and clarifications of the complaint should be obtained.
- The investigating officer should inform the member of staff against whom the complaint is made as soon as is practically possible. The member of staff will be informed of their right to be accompanied by a trade union or other representative at any future interview or hearing held under the provision of these procedures.
- The investigating officer should consider the involvement of the auditors and the Police at this stage and should consult with the Committee Chairperson.
- The allegations should be fully investigated by the investigating officer with the assistance where appropriate, of other individuals / bodies.
- A judgement concerning the complaint and validity of the complaint will be made by the investigating officer. This judgement will be detailed in a written report containing the findings of the investigations and reasons for the judgement. The report will be passed to the Pre-School Leader and Committee Chairperson, as and if appropriate.
- The Pre-School Leader and Committee Chairperson, as and if appropriate, will decide what action to take. If the complaint is shown to be justified, then they will invoke the disciplinary or other appropriate procedures.
- The complainant should be kept informed of the progress of the investigations and, if appropriate, of the final outcome.
- If appropriate, a copy of the outcomes will be passed to the Auditors to enable a review of the procedures.

If the complainant is not satisfied that their concern is being properly dealt with by the investigating officer, they have the right to raise it in confidence with the Committee Chairperson, or an independent member of the Committee.

If the investigation finds the allegations unsubstantiated and all internal procedures have been exhausted, but the complainant is not satisfied with the outcome of the investigation, Seer Green Pre-School recognises the lawful rights of employees and ex-employees to make disclosures to prescribed persons (such as the Health and Safety Executive, the Audit Commission), or, where justified, elsewhere.

As with all the policies for Seer Green Pre-School, the Operational Plan should be referred to for the specific details of day to day operations of the Pre-School. In addition, any issues which arise in the course of a child's time with the Pre-School and that are related to a child's health and wellbeing, parent's or staff's concern, or the overall care and safety of our children, staff, parents and equipment will be dealt with in a professional and confidential manner in order to arrive at an appropriate outcome.

This policy was adopted on (date) \_\_\_\_\_

Signed on behalf of Seer Green Pre-School (Committee Chairperson) \_\_\_\_\_

This policy was reviewed as indicated below:

*2010 created*

*2011, 2012, 2013, 2014, 2015, 2016 reviewed and updated as required*

*July-Nov 2017 reviewed and updated*

*June-July 2018 reviewed and updated*

**UNCRC related articles:**

**Number 19**

Governments must do all they can to ensure that children are protected from all forms of violence, abuse, neglect and bad treatment by their parents or anyone else who looks after them.

**Number 36**

Governments must protect children from all other forms of bad treatment.