

## Appendix 1

### Anonymous summary of formal whistleblowing investigations undertaken during the period 1<sup>st</sup> April 2016 to 31<sup>st</sup> March 2017

	Nature of concern	Outcome
1.	<p>Allegation 1) The Authority was not complying with its statutory obligation to maintain written records.</p> <p>Allegation 2) Lack of compliance with the statutory timetable requirement.</p> <p>Allegation 3) Training not up to date.</p>	<p>The allegations were not substantiated. However, in order to improve internal practices and procedures a number of recommendation were made by the Investigating Officer :</p> <p>Allegation 2)</p> <ul style="list-style-type: none"><li>• A document reflecting the decision making process should be produced.</li><li>• An implementation and monitoring plan should be produced.</li><li>• Relevant Authorities / Agencies should be informed.</li></ul> <p>Allegation 3)</p> <ul style="list-style-type: none"><li>• Database records and data recording should be scrutinised and monitored to ensure that training records are accurately maintained and refresher courses are undertaken as and when indicated to ensure the Authority complies with best practice.</li></ul>

	Nature of concern	Outcome
2.	<p>Allegation 1) There are a number of family relationships between staff.</p> <p>Allegation 2) There is favouritism and nepotism towards family members and staff who are "favoured".</p> <p>Allegation 3) There is favouritism in the application of sickness leave in that certain employees who report sick are allowed to take annual leave as opposed to taking the day as sick whereas other employees are not.</p> <p>Allegation 4) Staff are leaving work early and special arrangements are made for them to be picked up for work by work vehicles.</p> <p>Allegation 5) Supervisors ignore their phones when they are sat in the office and also do not pick up messages that are received on their phones and respond to those messages or return the calls.</p> <p>Allegation 6) There is a lack of confidentiality amongst Supervisors</p> <p>Allegation 7) Supervisors have given employees a "dressing down" in a full office in front of other staff which is seen as inappropriate.</p> <p>Allegation 8) Rotas are manipulated to give favouritism to family members / friends.</p> <p>Allegation 9) Staff are not made aware of rotas with the result that staff often attend for the early shift because they are unaware of what shift they are on.</p> <p>Allegation 10)</p>	<p>Allegations 4, 5, 6, 8, 11, 12, 13 were not substantiated.</p> <p>Allegations 1, 3, 9 and 10 were substantiated.</p> <p>Allegations 2 and 7 were partially substantiated.</p> <p>The following recommendations were made by the Investigating Officer:</p> <p>Allegation 1) This allegation is a matter of fact. A reminder should be sent to all staff to again to draw their attention to their obligations and duties under the Code of Conduct for Employees.</p> <p>Allegation 3) Consideration to be given by the Acting Head of Human Resources and Organisational Development as to whether there should be a corporate direction in relation to the issue of sickness absence and annual leave being used where employees are off work ill.</p> <p>Allegation 9) Supervisors need to remain fair and professional at all times. Training may be required in this regard.</p> <p>Allegation 10) Whilst this allegation was substantiated, this was not considered to be a cause for concern, as information pertinent to the individuals' jobs was being cascaded. However, it is recommended that the Head of Service should implement an appropriate method of communication to ensure that relevant information is communicated through the appropriate means long term.</p> <p>Allegation 13) A formal investigation needed to be undertaken</p>

Not all supervisors undertake team briefings so there is a lack of communication that staff should be aware of.

Allegation 11)

The PDR process is not explained to staff and they are just asked to go in and sign documentation.

Allegation 12)

Recording data is manipulated by some staff and this is not being dealt with.

Allegation 13)

Sickness absence and absenteeism is not dealt with consistently because of family relationships

	<b>Nature of concern</b>	<b>Outcome</b>
3.	<p>Allegation 1) Pupil prevented from obtaining accurate grade</p> <p>Allegation 2) A member of staff was involved in the recruitment process that appointed a member of their family to a post.</p>	<p>The allegations were not substantiated.</p>