



**Safeguarding and Welfare Requirements: Suitable People**  
*Providers must ensure that people looking after children are suitable to fulfil the requirements of their roles.*

## Suitable People

### 2.1 Employment

(Including suitability, contingency plans, training, supervision and development)

#### Policy statement

We meet the Safeguarding and Welfare Requirements of the Early Years Foundation Stage, ensuring that our staff are appropriately qualified, and we carry out checks for criminal and other records through the Disclosure and Barring Service (**DBS**) in accordance with statutory requirements.

#### EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.3 Keeping safe	2.4 Key person	3.4 The wider context	

#### Procedures

##### *Vetting and staff selection*

- We work towards offering equality of opportunity by using non-discriminatory procedures for staff recruitment and selection.
- All our staff have job descriptions, which set out their roles and responsibilities.
- We welcome applications from all sections of the community. Applicants will be considered on the basis of their suitability for the post, regardless of disability, gender reassignment, pregnancy and maternity, race, religion or belief, sexual orientation, sex, age, marriage or civil partnership. Applicants will not be placed at a disadvantage by [our/my] imposing conditions or requirements that are not justifiable.
- We follow the requirements of the Early Years Foundation Stage and Ofsted guidance on checking the suitability of all staff and volunteers who will have unsupervised access to children. This includes obtaining references and ensuring they have a satisfactory enhanced criminal records check with barred list(s) check through the DBS. This is in accordance with requirements under the Safeguarding Vulnerable Groups Act (2006) and the Protection of Freedoms Act (2012) for the vetting and barring scheme.
- Where an individual is subscribed to the DBS Update Service we carry out a status check of their DBS certificate, after checking their identity and viewing their original enhanced DBS certificate to ensure that it does not reveal any information that would affect their suitability for the post.
- We keep all records relating to the employment of our staff and volunteers; in particular those demonstrating that suitability checks have been done, including the date of issue, name, type of DBS check and unique reference number from the DBS certificate, along with details of our suitability decision.

- We require that all our staff and volunteers keep their DBS check up-to-date by subscribing to the DBS Update Service throughout the duration of their employment with us.
- Our staff are expected to disclose any convictions, cautions, court orders, reprimands and warnings which may affect their suitability to work with children – whether received before, or at any time during, their employment with us.
- We obtain consent from [our/my] staff and volunteers to carry out on-going status checks of the Update Service to establish that their DBS certificate is up-to-date for the duration of their employment with us.
- Where we become aware of any relevant information which may lead to the disqualification of an employee, we will take appropriate action to ensure the safety of children. In the event of disqualification, that person's employment with us will be terminated.

#### *Notifying Ofsted of changes*

- We inform Ofsted of any changes to our Registered Person, director(s) of our provision and/or our management team.

#### *Staff supervision, training and staff development*

- Our supervisors and Deputy hold NVQ 3 in Early Years Care and Education or an equivalent qualification and a minimum of half of our staff hold the NVQ 2 in Early Years Care and Education or an equivalent or higher qualification.
- We provide regular in-service training to all staff – whether paid staff or volunteers – through the Pre-school Learning Alliance and external agencies.
- Training that staff participate in which is beneficial to the pre-school will be re-imbursed at the discretion of the committee.
- Our pre-school budget allocates resources to training.
- We provide staff induction training in the first week of employment. This induction includes our Health and Safety Policy and Safeguarding Children and Child Protection Policy. Other policies and procedures will be introduced within an induction plan.
- We support the work of our staff by holding regular supervision meetings and appraisals.
- We are committed to recruiting, appointing and employing staff in accordance with all relevant legislation and best practice.
- Full details about staff supervision, training, staff development and Code of Conduct can be found in the Staff Handbook.

#### *Staff taking medication/other substances*

- If a member of staff is taking medication which may affect their ability to care for children, we ensure that they seek further medical advice. Staff will only work directly with the children if medical advice confirms that the medication is unlikely to impair their ability to look after children properly.
- Staff medication on the premises will be stored securely and kept out of reach of the children at all times.
- If we have reason to believe that a member of staff is under the influence of alcohol or any other substance that may affect their ability to care for children, they will not be allowed to work directly with the children and further action will be taken, as outlined in the Staff Handbook.

### *Managing staff absences and contingency plans for emergencies*

- As we are a term time only pre-school, our staff takes their holiday breaks when the pre-school is closed. Where staff may need to take time off for any reason other than sick leave or training, this is agreed with the supervisors with sufficient notice.
- Where staff are unwell and take sick leave in accordance with their contract of employment, we organise cover to ensure ratios are maintained.
- Sick leave is monitored and action is taken where necessary in accordance with the contract of employment.
- We have contingency plans to cover staff absences, as follows:
  - a) At Acorns, there are two joint Supervisors and a Deputy whom Ofsted have approved.
  - b) In the event of staff shortage through staff sickness etc, usual standby staff to be called upon.
  - c) In the event of one Supervisor off for any reason, the other Supervisor leads the session and takes responsibility for the group.
  - d) In the event of both supervisors being unavailable, the Deputy, leads the group and takes responsibility for the group.
  - e) If for any reason the Supervisors and the Deputy are person not available, the session has to be cancelled. If session has already begun, parents/carers need to be contacted to collect their child. Staff in the group are to remain with the children until they are picked up. Contact telephone numbers, passwords etc are listed at the front of the registration book.
  - f) In all cases appropriate ratios of staff should be maintained, 1 to 6, three years and above; 1 to 4, two to three years old.
  - g) In the event of no other members of staff being available, the setting manager or one of other Directors can be approached .

## **Legislation Framework**

### **Primary Legislation**

- The Children Act (2004)
- Children and Families Act (2014)
- The Protection of Children Act (1999)
- Safeguarding Vulnerable Groups Act (2006)
- Equalities Act (2010)

### **Secondary Legislation**

- GDPR (2018)
- Protection of Freedoms Act (2012)
- Human Rights Acts (1998)
- Malicious Communication Act (1988)
- Children, Schools and Families Act (2010)
- Freedom of Information Act (2000)
- Race Relations (Amendment) Act (2000)
- Race Relations (Amendment) Act (1976) Regulations
- The United Nations Convention on the Rights of the Child
- Sexual Offences Act (2003)
- Criminal Justice and Court Services Act (2000)
- Health and Safety at Work (1992/1999)

- Health and Safety (First Aid) Regulations (1981)
- Code of Practice for First Aid (1997)

**Other useful Pre-school Learning Alliance publications:**

- Employee Handbook (2012)
- Recruiting Early Years Staff (2016)
- People Management in the Early Years (2106)

This policy was adopted at a meeting of Acorns Community Pre-School held on .....

Date to be reviewed:.....

Signed on behalf of the management team:.....

Name of signatory: .....

Role of signatory (e.g. chair/owner):.....

Acorns Community Pre-School  
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## Suitable People

### 2.2 Student and Apprecentage placements

**Policy statement**

This pre-school recognises that qualifications and training make an important contribution to the quality of the care and education provided by early years settings. As part of our commitment to quality, we offer placements to students and apprentices undertaking early years qualifications and training. We also offer placements for school pupils on work experience.

We aim to provide for students on placement with us, experiences that contribute to the successful completion of their studies and that provide examples of quality practice in early years care and education.

**EYFS key themes and commitments**

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.3 Keeping safe	2.2 Parents as partners	3.4 The wider context	

## Procedures

- We require students and apprentices on qualification courses to meet the 'suitable person' requirements of Ofsted and have CRB checks carried out.
- We require students and apprentices in our setting to have a sufficient understanding and use of English to contribute to the well-being of children in our care.
- We require schools placing students under the age of 17 years with the pre-school to vouch for their good character.
- We supervise students under the age of 17 years at all times, and do not allow them to have unsupervised access to children.
- Students undertaking qualification courses who are placed in our pre-school on a short term basis are not counted in our staffing ratios.
- Students and apprentices, over the age of 17, who are undertaking a level 3 qualification may be considered to be counted in the ratios if [I/our manager] deems them to be suitably qualified and experienced.
- We take out employers' liability insurance and public liability insurance, which covers both trainees and voluntary helpers.
- We require students and apprentices to keep to our Confidentiality and Client Access to Records Policy.
- We co-operate with students and apprentices' tutors in order to help students and apprentices to fulfil the requirements of their course of study.
- We provide students and apprentices, at the first session of their placement, with a short induction on how our setting is managed, how our sessions are organised and our policies and procedures.
- We communicate a positive message to students and apprentices about the value of qualifications and training.
- We make the needs of the children paramount by not admitting students and apprentices in numbers which hinder the essential work of the pre-school.
- We ensure that students and apprentices placed with us are engaged in bona fide early years training which provides the necessary background understanding of the children's development and activities.

## Primary Legislation

- Equalities Act (2010)
- Health and Safety at Work (1974)
- Children and Families Act (2014)
- Safeguarding Vulnerable Groups Act (2006)
- The Children Act (2004)

## Secondary Legislation

- GDPR (2018)
- Freedom of Information Act (2000)
- The United Nations Convention on the Rights
- Human Rights Acts (1998)
- Malicious Communication Act (1988)
- Race Relations (Amendment) Act (2000)

- Race Relations (Amendment) Act (1976) Regulations
- Sexual Offences Act (2003)
- Criminal Justice and Court Services Act (2000)

**Useful Information**

- Employ an Apprentice <https://www.gov.uk/take-on-an-apprentice/overview>

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**Suitable People**

**2.3 Whistle blowing**

**Policy statement**

Acorns Community Pre-school is committed to the highest possible standards of openness, honesty and accountability. The management team recognise that a member of staff may be the first to realise if something is wrong within the setting. However they may not want to express their concerns because they feel that speaking up would somehow be disloyal to their colleagues or to the pre-school.

Staff have the right and individual responsibility to raise any matters of concern regarding poor practice at work. Staff are responsible for the safety and well being of all children attending the pre-school, this has priority over loyalty to colleagues.

This policy and additional guidance, including a condensed summary on Whistleblowing procedures in our Staff Handbook, is intended to encourage and enable employees to raise serious concerns within the setting rather than overlooking a problem or blowing the whistle outside.

In addition to the whistle blowing policy, Acorns Community Pre-school has other policies and procedures covering discipline, grievance and complaints that exist to enable employees to raise concerns about their own employment. This policy is intended to complement these, and is designed to nurture a culture of openness and transparency within the pre-school, which makes it safe and acceptable for employees,

apprentices, students and volunteers to raise, in 'good faith', a concern that they may have about misconduct or malpractice.

## EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice 1.3 Keeping safe	2.1 Respecting each other		

## The aims of this policy

- To support and encourage staff to take an active role in the elimination of poor practice.
- To encourage and enable individuals to raise genuine and legitimate concerns at the earliest opportunity.
- To provide avenues for individuals to raise those concerns and receive feedback on any action taken.
- To ensure concerns are appropriately investigated.
- To protect those making the complaint from victimisation or retaliation.

The management team will investigate promptly and thoroughly all concerns raised in accordance with this policy and will take appropriate action.

## Guidelines

When someone blows the whistle they are raising a concern about misconduct, danger or illegality that affects others (e.g. preschool community, members of the public, or their employer).

The person blowing the whistle is usually not directly, personally affected by the misconduct, danger or illegality. Consequently, the whistleblower rarely has a personal interest in the outcome of any investigation into their concern - they are simply trying to alert others.

*Be a witness not a complainant.* For this reason, the whistleblower should not be expected to prove the malpractice. He or she is a messenger raising a concern so that others can address it.

Concerns raised may;

- Make an individual feel uncomfortable in terms of known standards
- Be related to issues that are not in keeping with the pre-school's policies, procedures or code of conduct
- Fall below established standards of practice
- Involve improper behaviour

Examples of the type of issue that falls within the scope of this policy are:

- Conduct which is a criminal offence or breach of the law
- Sexual or physical abuse of children or others
- Major health and safety risks – to staff, children or members of the public
- Fraud and/or corruption
- Other unethical conduct of a serious nature

Before speaking up consider these options.

- Is there a co-worker, colleague or senior manager you can approach with your concerns?
- Can you find a solution within the team?
- Are there others who are willing to speak up with you?
- How can the risk be addressed?

Consider the possible outcomes of speaking up.

- What is your motivation for blowing the whistle? Is it driven by the public interest?
- What obstacles are there to raising your concern?
- If you've known about the risk for some time, why are you minded to raise the issue now?
- What would you consider to be a satisfactory outcome?

**Protection for the whistle blower**

All concerns raised under this procedure will be treated seriously and a decision made about whether or not an investigation is appropriate. Depending upon the nature of the matter it may be referred to an outside body or the police. The person to whom the report has been made will be responsible for keeping the whistleblower informed about the progress of the investigation, and the action which has been taken, although the whistleblower may not be told the outcome.

Every effort will be made to protect the identity of the person raising the concern if they so wish; however, the information will be passed to those with a legitimate need to have it.

In some cases the investigation may result in criminal or disciplinary proceedings, it may be necessary for the individual to provide a written statement or act as a witness in any subsequent enquiry. This is always discussed with the individual first. If a person's identity is to be disclosed, he or she will be informed before the disclosure takes place and the reasons why it is necessary.

The management team will support the whistleblower during any proceedings arising from their allegation, ensuring that they understand and are prepared for what will happen.

Acorns Community Pre-school's management team will not tolerate harassment or victimisation and will take action to protect the whistleblower if they have raised a concern in 'good faith'. Any employee who is found to have victimised or harassed an employee who has raised a concern will face disciplinary action.

Having raised the concerns the management team expect the whistleblower to respect confidentiality and not to discuss the issues with any other person, inside or outside the setting.

An instruction to cover up wrongdoing is itself a disciplinary offence. If anyone is told not to raise or pursue any concern, even by a person in authority, they should not agree to remain silent. In this event the matter should be reported to the Manager or Directors.

**Anonymous allegation**

Staff are encouraged give their name when raising concerns. Concerns expressed anonymously are much less powerful and harder to investigate. The decision whether to investigate an anonymous allegation will be made by the Manager/Directors. When making this decision they will take into account the seriousness of the issues raised, the credibility of what is being said and the likelihood of confirming the allegation from other sources

Before raising a concern Anonymously consider these options

- being anonymous does not stop others from successfully guessing who raised the concern;



- it is harder to investigate the concern if people cannot ask follow-up questions;
- it is easier to get protection under the [UK Public Interest Disclosure Act](#) if the concerns are raised openly; and
- it can lead people to focus on the whistleblower, maybe suspecting that he or she is raising the concern maliciously

### **Untrue allegations**

If an allegation is found to be untrue, but the employee has made the allegation in 'good faith' but, no action will be taken against the employee. However, employees who make allegations maliciously, frivolously or for personal gain may face disciplinary action.

### **Support and advice**

If an individual is unsure whether or not to raise a concern or wants confidential advice they can contact the independent charity Public Concern at Work whose lawyers are able to give individuals free advice on how to raise a concern about serious malpractice at work.

- Public Concern at Work - Tel: 020 7404 6609 or at [helpline@pcaw.co.uk](mailto:helpline@pcaw.co.uk)

### **Procedure**

Concerns should be raised as soon as possible with the one of the Supervisors in the first instance in person or in writing. If this is not appropriate, concerns may be raised with the Manager or Directors.

These discussions should provide as much information about the matter, including dates, individuals involved, other possible sources of information, etc. The earlier concerns are expressed the easier it is to take action. If the whistleblower does not wish to put the allegations in writing, the person to whom the disclosure is being made will make a written record of the interview which must be signed by the whistleblower to confirm the accuracy of the notes taken.

Employees must be able to demonstrate to the person hearing the disclosure that there are reasonable grounds for making the allegations.

#### **EMPLOYEES SHOULD**

- Stay calm and communicate in a professional and factual manner.
- Remember that you are a witness, and not a complainant .
- Think about the risks and outcomes before you act.
- Let the facts speak for themselves - don't make ill-considered allegations.
- Remember that you may be mistaken or that there may be an innocent or good explanation.
- Do not become a private detective.
- Recognise that you may not be thanked.
- If you know how to resolve the problem, suggest a solution.

#### **EMPLOYEES SHOULD NOT**

- Delay the reporting by investigating the matter themselves.
- Alert those suspected of being involved.
- Approach or accuse individuals.
- Tell anyone other than the designated persons (i.e. management/directors)
- Use the whistleblowing procedure to raise personal concerns related to their own employment, the Grievance Procedure is located in the Staff Handbook.

Within ten days the Manager or Director will write to the individual concerned to acknowledge receipt of the concern and indicate how the pre-school intends to deal with the issue, including whether any further investigation will take place.

If misconduct is discovered as a result of any investigation under this procedure the early years setting's disciplinary procedure will be used, in addition to any appropriate external measures.

The pre-school will do what it can to minimise any difficulties that staff may experience as a result of raising a concern. For instance, if they are asked to give evidence in criminal or disciplinary proceedings, the pre-school will arrange for them to receive appropriate advice and support.

Staff need to be assured that their disclosure has been properly addressed. Unless there are any legal reasons why this cannot be done, they will be kept informed of the progress and outcome of the investigation.

If the whistleblower is not satisfied with the outcome of the investigation, they may evaluate their concerns directly to

Early Years Advisory Team 02380 667360

Elizabeth Knowles - Mob 07545 355575  
[elizabeth.knowles@hants.gov.uk](mailto:elizabeth.knowles@hants.gov.uk)

Childrens Link 08456 035620

Emma Angel - Mob: 07939 978167  
[info@childrenslink.org.uk](mailto:info@childrenslink.org.uk)

Ofsted tel – 0300 123 3155 (Monday to Friday 8am – 6pm)

E-mail - [whistleblowing@ofsted.gov.uk](mailto:whistleblowing@ofsted.gov.uk).

## **Legal framework**

### ***Primary legislation***

- Public Interest Disclosure Act (1998)
- The Children Act (2004)
- Children and Families Act (2014)
- Childcare Act (2006)
- Data Protection Act (1998)
- Safeguarding Vulnerable Groups Act (2006)
- Health and safety at Work Act (1974)
- The Protection of Children Act (1999)
- Children, Schools and Families Act (2010)
- Public Interest Disclosure Act (1998)
- Protection from Harassment Act (1977)

### ***Secondary legislation***

- Sexual Offences Act (2003)
- Criminal Justice and Court Services Act (2000)
- Human Rights Act (1999)
- Race Relations (Amendment) Act (2000)
- Race Relations (Amendment) Act (1976) Regulations
- Equalities Act (2010)
- Management of Health and Safety at Work Regulations (1992)
- Electricity at Work Regulations (1989)
- Control of Substances Hazardous to Health Regulations(COSHH) (2002)
- Manual Handling Operations Regulations (1992) (as amended)
- Health and safety (Display Screen Equipment) Regulations (1992)
- Freedom of Information Act (2000)
- The United Nations Convention on the Rights of the Child
- Malicious Communication Act (1988)

**Further guidance**

- Working Together to Safeguard Children (revised HMG 2006)
- What to Do if You Are Worried a Child is Being Abused (HMG 2006)
- The Framework for the Assessment of Children in Need and Their Families (DoH 2000)
- The Common Assessment Framework (2006)
- Statutory guidance on making arrangements to safeguard and promote the welfare of children under section 11 of the Children Act 2004 (HMG 2007)
- Information sharing: Practitioners’ Guide (HMG2006)
- Health and Safety Law: What You Should Know (HSE 1999) [www.hse.gov.uk/pubns/law.pdf](http://www.hse.gov.uk/pubns/law.pdf)
- Health and Safety Regulation... a short Guide (HSE 2003) [www.hse.gov.uk/pubns/hsc13.pdf](http://www.hse.gov.uk/pubns/hsc13.pdf)
- Electricity Safety and You (HSE 1998) [www.hse.gov.uk/pubns/indg231.pdf](http://www.hse.gov.uk/pubns/indg231.pdf)
- COSHH: A Brief Guide to the Regulations (HSE 2005) [www.hse.gov.uk/pubns/indg136.pdf](http://www.hse.gov.uk/pubns/indg136.pdf)

**Other useful Pre-school Learning Alliance publications:**

- Child Protection Record (2007)

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## Suitable People

### 2.4 Recruitment of ex-offenders

#### Policy statement

As an organisation using the The Disclosure and Barring Service (DBS) Disclosure service to assess applicants' suitability for positions of trust, Acorn Community Pre-school complies fully with the DBS Code of Practice and undertakes to treat all applicants for positions fairly. It undertakes not to discriminate unfairly against any subject of a Disclosure on the basis of a conviction or other information revealed.

#### EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice 1.3 Keeping safe	2.1 Respecting each other	3.4 The wider context	

#### Procedures

- Acorns Community Pre-school is committed to the fair treatment of staff, potential staff, volunteers and directors, regardless of race, gender, religion, sexual orientation, responsibilities for dependents, age physical/mental disability or offending background.
- We have a written policy on the recruitment of ex-offenders, which is made available to all Disclosure applicants at the outset of the recruitment process.
- We actively promote equality of opportunity for all with the right mix of talent, skills and potential and welcome applications from a wide range of candidates, including those with criminal records. We select all candidates for interview based on their skills, qualifications and experience.
- A Disclosure is only requested after a thorough risk assessment has indicated that one is both proportionate and relevant to the position concerned. As Enhanced Disclosures are normally required for all those working with children, all application forms, job adverts and recruitment briefs will contain a statement that a Disclosure will be requested in the event of the individual being offered the position.
- We encourage all applicants called for interview to provide details of their criminal record at an early stage in the application process. We request that this information be sent under separate, confidential cover, to the Acorns Community Pre-school Managing Director and we guarantee that this information will only be seen by those who need to see it as part of the recruitment process.
- Positions which involve working with children in educational institutions, such as Acorns Community Pre-school, are contained in the Exemptions Order of the Rehabilitation of Offenders Act 1974, and so the disclosure covers both spent and unspent convictions as defined in the act.
- We will ensure that all those in Acorns Community Pre-school who are involved in the recruitment process have been suitably trained to identify and assess the relevance and circumstances of

offences. We also ensure that they have received appropriate guidance and training in the relevant legislation relating to the employment of ex-offenders e.g. the Rehabilitation of Offenders Act 1974.

- At the interview, or in separate discussion, we ensure that an open and measured discussion takes place on the subject of any offences or other matter that might be relevant to the position. Failure to reveal information that is directly relevant to the position sought could lead to the withdrawal of an offer of employment/placement or recruitment to the directors.
- We make every subject of a DBS Disclosure aware of the existence of the DBS Code of Practice and make a copy available on request.
- We undertake to discuss any matter revealed in a Disclosure with the person seeking the position before withdrawing a conditional offer of employment, a placement or directorship.
- **Having a criminal record will not necessarily bar you from working with us.** This will depend on the nature of the position and the circumstances and background of your offences.

## Legal framework

### Primary Legislation

- GDPR ((2018)
- Human Rights Act (1998)
- Equalities Act (2010)
- Criminal Justice and Court Services Act (2000)

### Secondary Legislation

- The United Nations Convention on the Rights of the Child
- Childcare Act (2006)
- Freedom of Information Act (2000)
- The Children Act (2004)
- Safeguarding Vulnerable Groups Act (2006)
- Children and Families Act (2014)
- The Protection of Children Act (1999)
- Malicious Communication Act (1988)
- Race Relations (Amendment) Act (2000)
- Race Relations (Amendment) Act (1976) Regulations

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# Suitable People

## 2.5 Supervision

### Policy statement

It is now a legal requirement (EYFS safeguarding and welfare requirements 2012) that all staff in direct contact with children receive regular supervision. The aim of this policy is to provide a framework for the one to one supervision of any staff working for Acorns Community Preschool who are in direct contact with children.

The policy is in place to promote safeguarding, safety and wellbeing, and to meet the needs of the setting, the staff and their supervisors, regardless of their job role.

We aim to provide appropriate, responsive and flexible services for all the children in our care. This can only be done if our staff:

- Understand what is expected of them
- Have the skills, knowledge, behaviours, values and attitudes necessary to carry out their role
- Are fully supported in their work and managed effectively.

Supervision is one of the ways that this can be achieved. This policy sets out how staff can expect to be supervised and provides managers with the key elements needed to supervise staff effectively. Practice guidance for supervisees can be found in the Supervision section of the Staff Handbook, and for supervisors additional information is in the Supervision Guidance File.

*Supervision will always keep a focus on the best interests of the children in the setting and promote their safety and well-being.*

### EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice 1.3 Keeping safe	2.1 Respecting each other	3.4 The wider context 3.1 Observation, assessment and planning	4.4 Personal, social and emotional development

### Procedures

*Promoting a safeguarding culture in the setting*

Supervision will support and strengthen the safeguarding culture we are committed to for our setting. Supervision will promote and model the following indicators of a safe setting:

- Staff are respectful to all employees as well as children
- Staff are open about discussing good and poor practice
- Blame only occurs in extreme circumstances
- Leaders model the appropriate behaviour
- Staff are knowledgeable about the vulnerability of the children that they look after
- Staff are aware of the procedures for allegations of abuse against staff and the disciplinary actions which would be taken.
- Children are listened to
- Staff are empowered to challenge poor practice
- Parents are encouraged to be involved in planning their child's care and are welcomed into the setting
- Whistle-blowing procedures are in place and staff know how to use them
- British Values are promoted and the Prevent Duty is in place and understood by staff.

#### Definition of supervision within the performance management framework

Individual performance management within Acorns Community Pre-school involves three elements:

1. *Supervision* – a regular one to one meeting between the supervisor and supervisee in order to meet organisational, professional and personal objectives.
2. *Appraisal* – an annual meeting (reviewed six monthly), where the individual and their supervisor:
  - review the individual's performance and identify what has gone well, and what hasn't gone so well over the last year
  - set measurable objectives and/or targets in line with their team objectives and/or targets for the coming year
  - have the opportunity to identify learning and development to help the individual carry out his/her job better, both now and in the future.
3. *Learning and Development Planning* – this forms part of the appraisal process and aims to encourage the individual to identify and evaluate learning that has taken place during the previous year and plan for learning and development opportunities for the coming year. A six monthly review will be conducted to ensure that the plans are still relevant and up to date in accordance with any changes, e.g. in job role.

The supervision process is a key part of the performance management framework as outlined above. Discussions held and recorded during supervision will form part of the appraisal process.

#### Scope of this policy

This policy applies to all staff employed by Acorns Community Pre-school that have direct contact with children, whether on a permanent or temporary, full time or part time basis.

#### Functions of supervision

The five main functions of supervision are:

1. *Management* (Competent accountable performance/ practice)
2. *Learning and Development* (Continuing professional development)
3. *Support* (Personal support)

4. *Team Building* (Engaging the individual with the setting)

5. *Child-related supervision*

These five functions are interdependent and one function cannot be effectively performed without the others.

An over-emphasis on, for example, management, will leave the supervisee feeling that they are being overly controlled and that the only purpose of supervision is to "check up on them".

An over-emphasis on support will result in important discussions about workload, decision-making, and accountability being neglected leading to a danger of supervision becoming counselling.

Each function is described in detail below.

1. *Administrative or Managerial Elements - competent accountable performance/ practice.*

This function is to ensure that the work for which the supervisee may be held accountable is carried out to a satisfactory standard. The management function will be achieved through discussion of:

- Reviewing supervisee's performance and work achievements
- Policies and procedures relating to their work
- Roles and responsibilities of the supervisee
- Development and monitoring of on-going action plans/targets and objectives
- Monitoring of the supervisee's workload.

2. *Learning and Development - Continuing professional development*

This function is to encourage and assist staff in reflecting on their own performance, identify their own learning and development needs and develop plans or identify opportunities to address those needs. The learning and development function will be achieved through:

- Identifying supervisee's preferred learning style and potential barriers to learning
- Assessing development needs and identifying learning opportunities
- Giving and receiving constructive feedback on performance
- Reflecting on learning opportunities undertaken and applying that learning to the workplace.

3. *Support - Personal support for practitioner*

This function is to provide support for staff to carry out their role. The nature of the work as well as the effect of particular situations, incidents or personal issues may have an emotional impact on the staff member. By offering support within the supervision context supervisees should be given the opportunity to reflect on the impact of the work upon them and prevent issues adversely affecting them and their work. This will be achieved through:

- Creating a safe environment within supervision where trust and confidentiality are maintained
- Enabling and empowering expression of feelings in relation to the work role
- Discussion of personal issues impacting on performance at work
- Monitoring the health of the supervisee
- Equality, diversity, health and safety issues

4. *Team Building - Engaging the individual with the setting*

This function is to ensure that the relationship between the supervisee, their team, the setting and other agencies with whom they work are effective. This will be achieved through:



- Briefing senior managers about key issues raised by staff
- Dealing sensitively but clearly with concerns and complaints about colleagues and others with whom they work
- Consulting and briefing staff on changes and developments that affect their area of work
- Advocating between worker or team and other parts of the agency or with outside agencies

#### 5. Child-related supervision

Discussing individual child-related issues, such as development and wellbeing, are a valuable part of the process so long as this is done in a way that encourages reflective practice. Names of individual children discussed are recorded on the Supervision Meeting Record. However if an audit of the cohort is required, this should be done outside of the one-to-one supervision session. This will be achieved through:

- Reviewing the tracking of learning and development
- Monitoring inclusion, equality and diversity
- Discussing safeguarding and welfare issues
- Evaluating examples of evidence

When an individual child is discussed during one-to-one supervision, group or ad-hoc, this should be recorded on the child's individual Supervision Record. The record should include:

- a summary of the discussion
- agreed actions and timescales

### **Supervision methods**

#### One to one supervision

This policy is concerned primarily with one to one supervision that takes place in private at a pre-arranged time with an agreed agenda and preparation on behalf of both parties. All staff within the setting that have direct contact with children will have access to this method of supervision.

While the day to day supervisor for a particular member of staff may change according to shift patterns and rotas, the one to one sessions should be carried out by the same supervisor for a particular member of staff. If a supervisee is subject to frequent changes of supervisor it is difficult for a relationship based on trust, openness and honesty to be established and confidentiality may be, or may be perceived to be, compromised.

If a supervisor is absent from work for a long period (over one month) the manager should ensure that effective arrangements are in place for the supervision of the staff in that section.

The frequency of supervision should reflect:

- The supervisee's level of experience and competence (not necessarily length of service, although staff new to a role may require more frequent supervision)
- If the supervisee is in the probationary period (i.e. first six months of service) supervision should take place fortnightly. These may be quite short supervision sessions but they will enable the supervisor to assess the supervisee's suitability for permanent employment and ensure an effective relationship is formed in the early days of the supervisee's employment

- Particular circumstances that apply to the supervisee may mean they may require more frequent supervision (e.g. a difficult piece of work, the level of risk associated with work, personal difficulties or relationships, performance issues or levels of stress)
- Staff in direct contact with children should be supervised at no less than 8 weekly intervals (once every half term)
- The actual frequency for individuals should be agreed between the supervisor and supervisee when negotiating the terms of the Individual Supervision Agreement
- Any deviation from the recommended frequency detailed above, as a permanent feature, should be by agreement between the two parties and should be clearly recorded in the Individual Supervision Agreement
- Agency and temporary staff should receive supervision in the same way as permanent staff as detailed above.

### Supervision records

The recording of supervision sessions is the responsibility of the supervisor. The supervisor must adhere to the following standards of recording; this will be checked during the quality assurance process

### Recording standards:

- The detail included in the supervision record is a matter of judgement for the supervisor. In general the record should be detailed enough so that the issue can be revisited, if necessary, at a later date and still be understood. A short summary of the discussion and the decisions or action points arising from it should be sufficient in most cases.
- The supervisor may handwrite the Meeting Record providing the supervisor's writing is legible, otherwise it should be typed.
- Supervisors should aim to give a copy of the record to the supervisee for signature within two weeks.
- Records should clearly detail any decisions that have been made, and the reasons for these, any agreed actions including who will take responsibility and the timescale for carrying out these actions
- The records should be signed and dated by both parties. If there is disagreement as to the content of the record this should be recorded by the supervisor. A copy should be retained by both parties
- Hard copies will be kept by both parties. This is to both safeguard the supervisor and supervisee in the case of investigations (e.g. disciplinary or complaints investigation) and to ensure that records are not altered in any way.

It is recognised, however, that supervision is an on-going process that takes place in other ways. The two other main methods are outlined below. They have a place but should not replace planned, formal, recorded, one to one sessions.

### Group supervision

This should not replace individual supervision but can be used to complement it. It will involve a group of staff, all involved in the same task, meeting with a supervisor to discuss issues about their work or the way they work together as a team. This may be done in the context of a regular team meeting or as a separate session to look at specific issues.

### Unplanned or "ad-hoc" supervision

The pace of work and change and the frequency of supervision means that staff often have to "check something out" with a supervisor, obtain a decision or gain permission to do something in between formal supervision sessions. In addition, staff who work closely with their supervisor will be communicating daily about work issues, problems arising, changes in policies or procedures.

This form of supervision is a normal and acceptable part of the staff/supervisor relationship. However the following points should be borne in mind when considering unplanned or ad-hoc supervision:

- any decisions made with regard to a child or family should be clearly recorded on the child's Supervision Record as appropriate
- where supervisees and supervisors work closely together this does not negate the need for private one to one time together on a regular basis. The focus of these sessions is wholly on the individual, their development, performance and any issues arising from their work that do not arise on a day-to-day basis.

### Confidentiality and Access

Supervision is a private but not a confidential process. This means that the records are the property of the pre-school, not the individual. From time to time supervisors will need to discuss the content of supervision sessions with others, e.g. their own line manager, this should always be with the knowledge of the supervisee.

Access to supervision records should be controlled and all records should be locked away so that others who do not have a legitimate right to see the records cannot access them.

Supervisees should be aware, however, that other than themselves and their supervisor others will, from time to time, access records.

These might include:

- Directors / Manager / Supervisors (e.g. for quality assurance purposes)
- Investigating officers (e.g. for disciplinary or case review purposes)
- Inspectors (e.g. Ofsted inspectors)
- Performance staff (e.g. for audit and quality assurance purposes)

### Storage and Retention

The Individual Supervision Agreement and the supervision records will be kept on the supervisee's personal file held by the supervisor/manager in a locked cabinet. It is a matter for the supervisors what other documents are held with the supervision records, these may include appraisal documents, sickness documents and correspondence.

When a supervisee leaves the organisation the records should be retained for two years after the member of staff has left and then shredded.

### Individual Supervision Agreements

The purpose of the Individual Supervision Agreement is to establish a basis for which the supervisor and supervisee will work together during one to one supervisions. This establishment of guidance through negotiation will clarify the rights and expectations on both sides to create a safe, secure and effective supervisory relationship. It is worth noting that when the supervision relationship breaks down, or is less than satisfactory for either party, it is usually because of a lack of clarity or a mismatch of expectations from the outset.

When establishing the supervision agreement the following should be discussed:

- The purpose of supervision
- The frequency and venue of supervision sessions (note: this should always be in a private room where others cannot easily overhear)
- The practical arrangements (e.g. the process if supervision has to be cancelled or rearranged, an agreement that supervision will be uninterrupted, the anticipated length of time for each session)
- Any specific responsibilities of both supervisor and supervisee
- The recording of supervision, including where records will be kept to safeguard confidentiality, whether records will be typed or handwritten, how quickly records will be given to the supervisee for signature

- The arrangements for any group, ad-hoc or unplanned supervision
- The arrangements for agenda setting (e.g. both parties to submit agendas before the session, at the start of the session etc.)
- The review process
- The complaints process
- Staff Appraisal arrangements

The Individual Supervision Agreement will be reviewed annually.

### Monitoring and Quality Assurance

In order to be effective the supervision process requires monitoring and quality assurance arrangements. These processes enable the setting to check that:

- The standards of supervision as outlined in this policy are being followed
- Staff are being supervised professionally and effectively
- Supervision sessions are being recorded,
- Individual Supervision Agreements are developed, reviewed and used
- The supervision process promotes equal opportunities and anti-discriminatory practice.

The *monitoring arrangements* involve regular discussion, between the manager and supervisors, about the supervisor's practice in supervising their staff. The manager may request copies of supervision records as evidence of practice and to use as a tool where there are developmental needs on behalf of supervisors.

The *quality assurance arrangements* involve the auditing of a random selection of supervision files on a six monthly basis by the manager or director(s) using the Safeguarding Supervision Audit Tool.

### Complaints

Supervisees should be clear about whom they should contact if they feel the terms of their supervision agreement are not being met. Supervisees can make a complaint by following the Grievances procedure outlined in the Staff Handbook.

Supervisees should always discuss any complaints or dissatisfaction in the first instance with their supervisor and endeavour to reach an agreement within the normal supervision process.

If the complaint cannot be resolved by discussion with the supervisor the supervisee should raise the issue with their manager or director(s).

## **Legal framework**

### *Primary legislation*

- The Children Act (2004)
- The Protection of Children Act (1999)
- GDPR (2018)
- Safeguarding Vulnerable Groups Act (2006)
- Human Rights Act (1998)
- Children and Families Act (2014)
- Childcare Act (2006)
- Children, Schools and Families Act (2010)

### *Secondary legislation*

- Sexual Offences Act (2003)
- Criminal Justice and Court Services Act (2000)

- Equalities Act (2010)
- Freedom of Information Act (2000)
- The United Nations Convention on the Rights of the Child
- Race Relations (Amendment) Act (2000)
- Race Relations (Amendment) Act (1976) Regulations
- Protection from Harassment Act (1977)
- Public Interest Disclosure Act (1998)
- Counter-Terrorism and Security Act (2015)

Further Guidance

- Safeguarding through Effective Supervision – PLA 2013
- CWDC - 'Providing Effective Supervision' – [www.skillsforcare.org.uk](http://www.skillsforcare.org.uk)
- Dfe - Statutory Framework for the Early Years Foundation Stage
- Working Together to Safeguard Children (revised 2010)
- Four stages of supervision (Coulshed, 1990)
- Prevent Duty

This policy was adopted at a meeting of Acorns Community Pre-School held on .....

Date to be reviewed:.....

Signed on behalf of the management team:.....

Name of signatory: .....

Role of signatory (e.g. chair/owner):.....