Safer Recruitment and Employment (including DBS)

Adopted from Brent provided policy

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1. Introduction

This policy aims to reduce risk by setting out clearly, the standards and robust practices required within the School, to recruit a workforce fully committed to the safety and welfare of children in a safe and secure school environment. This also involves preventing unsuitable people either from being appointed, or taking up specific positions in the School.

In December 2012, the work of the Criminal Records Bureau and the Independent Safeguarding Authority merged into a single, new public body called the Disclosure and Barring Service (DBS).
The DBS is an Executive Agency of the Home Office. It acts as a central access point for criminal Records and lists people barred from working in schools (List 99), and the Department of Health's lists of people considered unsuitable for work with children or vulnerable adults (DBS Adult First).
The DBS provides the information that the School needs to help assess the suitability of candidates for certain positions. This service is known as 'Disclosure'.

This policy describes how the School will undertake DBS checks and checks against barred lists as part of its normal pre-employment checks; and thereafter during the course of each employee's employment. The policy also provides guidance on the use, storage and disposal of the disclosure information obtained from the checks in order to protect children. Furthermore, the policy seeks to prevent candidates who may have offended in the past from being treated unfairly.

In addition to the above, this policy outlines the steps this School will take to ensure those employed/engaged in the School are safe to work with children and young people and aims:

- To prevent unsuitable people working within School;
- To attract the best possible candidates to work within our School;
- To create and maintain a safe environment/workforce.

All elements of this Safer Recruitment Policy ensure that the recruitment and selection process meet the requirements of Keeping Children Safe in Education (KCSiE).
This includes:

- DBS guidance;
- Suitability Disqualification Guidance
- Single Central Record Guidelines

2. Scope

This policy applies to:

- Candidates applying for roles within the School
- Current School employees
- Governors

3. Our Approach

The School is fully committed to safeguarding and promoting the welfare of children. We are acutely aware of our responsibility to ensure, as far as is reasonably practical, that any appointment we make does not create a risk for our school community.

4. Roles and Responsibilities

It is the responsibility of the Governing Board to monitor and review the effectiveness of this policy and to be familiar with the Department for Education 'Keeping Children Safe in Education' and its specific requirements related to safer recruitment.

It is the responsibility of the Headteacher to ensure that structures are in place to support the effective implementation of this policy and that all appropriate pre-employment checks are carried out on all staff who work at the School.

Both the Governing Board and Headteacher will ensure before convening any interview panel, that at least one member of the interview panel has completed Safer Recruitment Training.

The interview panel will ensure that child protection/safeguarding matters are central to the interview process.

Individuals involved in the recruitment and selection process are required to comply with all aspects of this policy. Where individuals participating in the recruitment process consider that their impartiality could be challenged for any reason, this should be declared as a potential conflict of interest and it may be considered appropriate that they are recused from the selection process.

Likewise, all staff must familiarise themselves with this policy and comply with it to ensure that an ongoing vigilant culture of safeguarding is maintained across the School.

5. Equalities Legislation

The Governing Board will bear due regard to existing equalities legislation and will promote equality in all aspects of school life, particularly with regards to decisions on advertising of posts, appointing, promoting, pay, training and staff development. It will ensure that its processes are open, transparent and fair and all decisions will be objectively justified.

The recruitment and selection process will be applied fairly and consistently to all applying for positions within the School regardless of protected characteristics (i.e. age, disability, gender, reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation).

6. Vacancy/Advertising

When a vacancy arises, the Headteacher, in conjunction with the Governing Board if appropriate, will review the needs of the School and ensure the post to be advertised meets the School's needs effectively.
The Headteacher will assess and analyse the vacant post taking into account the School's current and future staffing structure and budget which is determined by the Governing Board.

The Headteacher will consider what type of appointment should be made and will ensure the implications of the different types of contracts are considered prior to advertising. Once the type of contract has been decided, the advert will indicate the type of contract that is being recruited.

In the case of a vacancy for a Headteacher or member of the Senior Leadership Team, the Governing Board must advertise the vacancy in such a manner as it considers appropriate to secure a broad and diverse range of professionally qualified/competent candidates. This would normally mean external advertising unless there is a good reason not to e.g. leadership restructure. The Governing Board will seek advice from the Local Authority (or Human Resources for academies; or diocesan/appropriate faith related authority where relevant) before deciding not to advertise.

In the interest of fair and open recruitment, consideration will be given to advertising vacant posts and how best to bring them to the attention of persons qualified to fill them, including making use of the appropriate Local Authority's advertising publications. External adverts will appear on the School's website as a minimum requirement. Consideration should also be given to advertising all posts in other media to target under-represented groups, unless there are clear business reasons preventing this from happening. Schools are urged to include positive wording in adverts to actively encourage applications

from people with disabilities, and promote a commitment to making reasonable adjustments as part of the recruitment selection process. Decisions on advertising should give due regard to the budgetary constraints of the School.

7. Job Descriptions and Person Specifications

The Job Description will summarise the duties, responsibilities, content and context of a post. It will be clear, concise and a fair representation of the post. For support staff roles, the job description and person specification should be evaluated in line with a fair evaluation scheme or a model pre-evaluated job description may be used from the Schools HR website where appropriate.

For Teaching posts, schools will set pay in line with School Teachers Pay and Conditions Document and may benchmark against similar positions across the local school community.

Job Descriptions and person specifications should be reviewed appropriately when a post becomes vacant.

The person specification will include the criterion 'a satisfactory DBS check at an enhanced level'.

All posts in the School will have an element of safeguarding responsibility and this will be reflected in the job description and person specification.

The person specification will provide a profile of the ideal person for the post. It will list the qualifications, experience, skills, personal attributes, and behaviours needed to undertake the duties and responsibilities of the post as detailed in the job description. The person specification will confirm how each criterion will be assessed during the whole selection process e.g. at interview, application form, test etc. Candidates must demonstrate on their application form how they meet the criteria listed on the person specification in order to be shortlisted.

8. Application Form

A School's standard application form will be used for all vacancies within the School. The application form will contain a monitoring sheet for equality monitoring purposes and will be detached prior to shortlisting. The information on the form will however be recorded to ensure the Governing Board is able to monitor equality in line with good practice.

The School's standard application form will contain a section to confirm that the position is exempt from the Rehabilitation of Offenders Act 1974 and candidates will be expected to confirm any criminal convictions (whether or not spent).

Application forms should not request information relating to an individual's criminal record or information that would make them unsuitable to work with children. This information should only be requested from applicants who have been shortlisted (see section 11 below).

9. Applicant/Recruitment Information Pack

Applicants responding to School adverts will receive appropriate information either electronically or via the School's website about the post, to assist them in deciding whether or not to proceed with an application.

The main details all applicants for posts will receive are:

- Covering letter – this will include details of the closing date, interview date (where known), telephone contact number, process for rejection i.e. whether applicants should assume they

have been unsuccessful after a certain period. The letter will confirm contact details if the applicant requires reasonable adjustments to be made as part of the recruitment/selection process. Details of the post being subject to DBS and online checks will also be included. CV's are not accepted, unless specifically requested.

- Application Form (incorporating equalities monitoring form)
- Job Description and Person Specification
- Any specific job-related information (i.e. organisation chart etc.)
- Any relevant background information regarding the School and local area.
- Child Protection Policy or Safeguarding statement and/or practices and policy on employment of ex-offenders or refer to a link on its website.

Applicants must fully complete the application form. CV's will not be accepted unless specifically requested.

10. Declaration of Interest

Any person participating in the selection process who has any interest in, or is related to, any of the applicants will declare that interest or relationship so that all the other members of the selection panel are aware of it. If appropriate such a person may be removed or replaced on the selection panel. Failure to disclose this information may be a breach of the school's Code of Conduct.

11. Shortlisting

No shortlisting will take place until after the closing date. The equalities monitoring section will be detached from the body of the standard application form on receipt and not shown to anyone involved in the shortlisting. The information will be stored and kept confidentially. A minimum of two people will always be involved in shortlisting. At least one of those involved in the shortlisting process will also be involved in the subsequent selection/interview process. If possible, one of these will be the line manager to whom the successful candidate will report. Where possible, the shortlisting panel should be diversely mixed.

Shortlisted candidates should be asked to complete a self-declaration of their criminal record or information that would make them unsuitable to work with children. The purpose of a self-declaration is so that candidates will have the opportunity to share relevant information and allow this to be discussed and considered at interview before the DBS certificate is received. See appendix 7 for a template Pre-Interview Self Declaration for Shortlisted Candidates Form.

12. Online/Internet Check

As part of the shortlisting process schools and colleges should consider carrying out an online search as part of their due diligence on the shortlisted candidates (i.e. general internet search) and in line with the employer's duty to meet the safeguarding requirements set out in Keeping Children Safe in Education (KCSIE). Recruitment information/documentation in respect of all recruitment campaigns should clearly state that online checks will be undertaken e.g. advert, application pack etc.

An online check may help identify any incidents or issues that have happened, are publicly available online, and give rise to legitimate concern(s) which the school/trust might want to explore with the applicant at interview. This online search should purely be about whether the individual is suitable to work with children. Care must be taken to avoid unconscious bias and any risk of discrimination. In line with that approach, it may be sensible to have someone not on the appointment panel to conduct the search – only sharing information that is relevant and of concern relating to safeguarding and the candidate's suitability to work with children. Individuals carrying out the search should understand the purpose of the search and make a note of the details of the search, including the site(s) viewed, and

when they were viewed. Schools should seek advice from their HR provider where concerns are identified as a result of an online search.

Online checks should also be undertaken in respect of recruiting volunteers and governors.

13. Objective Assessment

Each application form will be carefully considered and applicants will be assessed against the criteria listed in the Person Specification and Job Description. Those shortlisting will apply the criteria from the Person Specification objectively based on the information provided within the application form.

The selection criteria will be applied consistently to all applicants, whether internal or external, and each applicant will be dealt with fairly.

Applicants who do not have the formal qualifications specified, but can demonstrate skills of an equivalent standard may, where appropriate, still be considered for the shortlist with exception of QTS.

14. Equality Issues – Disabled Candidates

At all stages of the recruitment and selection process, reasonable adjustment for candidates with disabilities will be considered. If a candidate has a disability where they are at a substantial disadvantage because of working arrangements, then the School are legally required to consider any reasonable adjustments which could be made at the workplace if they were to be appointed.

15. Numbers to Shortlist

There should not normally be artificial restraints on the number of candidates to shortlist for a post as the objective is to select the best candidate for the role. However, there may be occasions where there are a large number of applicants and excessive numbers of candidates who meet the person specification. In these instances, it is advised to either add an additional stage into the recruitment process e.g. test longlisted candidates in order to obtain a shortlist or to raise the bar by determining (as a panel) additional criteria to assist in determining a manageable shortlist. In the case of the latter a file note should be kept of how the shortlisting was undertaken. Where additional criteria (desirable) are used to provide a manageable shortlist, disabled applicants who meet the essential criteria should be included on the shortlist.

16. Recording the Decision

The results of shortlisting will be recorded on the standard Recruitment Selection Form with clear reasons given for shortlisting or rejecting each applicant, and marks allocated against the criteria on the person specification.

Information obtained during the shortlisting process will be treated as confidential. Comments recorded as to why applicants were or were not included will not be disclosed outside of the selection panel, or only to an applicant who requests feedback on why they were not shortlisted for the vacancy.

17. The Interview and Selection Process

The main objective of the interview / selection process will be to:

- determine each candidate's suitability for appointment as measured against the person specification and job description
- give all candidates a fuller picture of the job
- select the right person for the job

One member of the Interview Panel will be nominated as the Appointing Officer with overall responsibility for making the final decision.

18. Contacting Shortlisted Candidates

Where possible, candidates should receive at least 5 days' notice of the date for interview (apart from exceptional circumstances). Shortlisted candidates will be asked to complete a Pre-Interview Self Declaration for Shortlisted Candidates (see Appendix 7) and return this to the school at least 1 day in advance of their interview. Candidates will receive written confirmation of their invitation to interview which should state the following:

- details of the nature of the selection process
- the selection panel where possible
- the interview / selection process time and venue
- any reasonable adjustments which disabled candidates need in relation to the selection process
- confirmation of documents needed for evidence checking e.g. original certificates relating to professional or educational qualifications.
- posts that are exempt from the Rehabilitation of Offenders Act 1974, the successful candidate will be subject to a DBS check.
- All candidates will need to bring evidence of their identity with them to the interview.

19. Visits by Candidates

Where appropriate shortlisted candidates may be given an opportunity to visit the school while it is operating and should be able to meet and talk to other members of staff who will not form part of the selection process.

20. Selection Panel

Interviews will be conducted by panels of at least two people and at least one panel member should have completed Safer Recruitment Training. Panels will normally be comprised of three members, and whilst there should not normally be artificial restraints on the upper limit, it should not be so large that it becomes unwieldly and unsettling for the candidate(s).

21. The Interview Process

All vacancies will require a face to face interview which will explore each applicant's ability to do the job applied for as set out in the job description and person specification.

During the interview, candidates will be asked the same pre-prepared core questions. The process will give all candidates an equal chance to demonstrate their suitability for the job.

Supplementary questions can be asked of candidates based on responses during the interview and also any questions which arose from the application form and the Pre-Interview Self Declaration for Shortlisted Candidates Form where applicable.

Candidates may also be asked questions on their motivation for working with children/within a school, their values and ethics, emotional maturity, resilience and their personal knowledge of safeguarding issues. For types of questions please see Appendix 1.

Any gaps in their employment records will also be queried.

All members of the interview panel must remain objective and ensure they give each candidate equal opportunity during the interview.

Each panel member will be responsible for keeping clear, concise objective notes of the interview process which will be available to candidates should they so request afterwards. Such notes shall be retained in a confidential filing system with the recruitment paperwork in line with the timescales set out in section 29 below.

Any information disclosed by the candidate on their application form and self-declaration form related to allegations, disciplinary action, cautions or convictions will be discussed during the interview. The principles of confidentiality must be strictly observed, especially where sensitive information is shared during the interview process.

Candidates will have the opportunity at the end of the interview process to ask questions about the job or the school. The Chair of the panel will ensure the candidates are aware of the decision-making timescales and how decisions will be communicated.

22. Equality Issues - Interview

The interview panel will be mindful of Equality legislation to ensure questions do not indicate any form of discrimination; however, issues of disability which may affect the job should be addressed positively and discussed during the interview.

The panel will discuss with the candidate during the interview, what reasonable adjustments would be required in order to fulfil the role of the post.

If the post is exempt from the Rehabilitation of Offenders Act 1974, evidence of the candidate's identity will be checked and recorded at the interview. This requirement will also be listed on the person specification for the post.

23. Other Selection Methods

The selection process can also include at least one other selection method in addition to the interview.

- **Oral Presentation** - If this is a requirement of the job being applied for, candidates will be advised in advance if they will be expected to make a presentation and what is expected of them.
- **Written Tests** (e.g. in-tray, case studies, scenarios). This could involve a job-related task which requires a reasoned written response, testing each candidate's ability to supply and draw from their own experience and knowledge, and their ability to communicate effectively.

- **Observing Teaching** (or other practical task/activities relevant to the position) - Any observations undertaken on the selection day will follow a similar process and will be outlined to the candidates in advance.
- **Psychometric Tests** - If psychometric tests are to be used they will be used as an aid to all other selection assessment material. Psychometric tests will only be administered by someone trained in their use. The administration of the test can be amended / changed to ensure disabled candidates are given an equal opportunity to participate.

24. Right to Work Checks

In line with the Asylum and Immigration Act 1996, the school is required to check that employees are legally able to reside and work in the UK. To adhere to this requirement, candidates for interview will be asked to bring with them a copy of one of the following:

- A passport showing that the holder is a British citizen, or has a right of abode in the UK e.g. UK birth certificate and National Insurance Card.
- A passport or other document issued by the Home Office which has an endorsement stating that the holder has a current right of residence in the UK.
- A passport or other travel document endorsed to show that the holder can stay in the UK; and that this endorsement allows the holder to do the type of work you are offering if they do not have a work permit.
- An Application Registration Card issued by the Home Office to an asylum seeker stating that the holder is permitted to take employment.

Note: a comprehensive list of documents and guidance can be viewed in Annex A within the following Home Office document: An employer's guide to right to work checks (publishing.service.gov.uk)

If the applicant is unable to produce a document from the list above, then they must produce two original documents from the Asylum and Immigration checklist (see https://www.gov.uk/claim-asylum/documents).

A photocopy of the relevant document will be taken and kept as part of the employee's personal file.

25. Feedback

One member of the interview panel will contact each candidate (whether successful or not) to be informed of the outcome of their interview, and where possible may offer feedback on how the candidate performed during the process. This will normally be within 5 working days of the interview.

26. Pre-employment Checks

Appointments are subject to all of the pre-employment checks detailed below and any offer of employment will be conditional subject to satisfactory receipt of all such checks.

Once all the pre-employment checks have been received and deemed to be satisfactory by the Headteacher, an unconditional offer of employment will be confirmed.

A. References

References will be requested for all shortlisted candidates (including internal candidates) prior to interview and in sufficient time for them to be made available to the interviewing panel except when a candidate requests clearly on their application form that they do not want their referees contacted

until they have received a formal conditional offer of appointment. An offer of appointment will not be confirmed until all pre-employment checks (including references) have been satisfactorily completed.

The Appointing Officer may contact the referee, if appropriate, to seek clarification on the reference provided. Any telephone discussion with a referee will be noted and these notes will be kept alongside the candidate's application/file.

References received will, on request, be disclosed to applicants under the principles of the General Data Protection Regulation.

Interview / selection panel members should not act as a referee unless in exceptional circumstances (this will sometimes happen, particularly with internal candidates). Candidates may be asked to name an alternative referee where appropriate.

References will be used to check the appointment and to reinforce decisions made as part of the interview / selection process. References will be checked against information on the application form and from the interview / selection process.

Information to Referees
Requests for references will be on the schools standard reference request form. Requests will be accompanied by the job description and person specification.

Use of References
References received before the interview process will be checked by the appointing officer / chair of the interview panel prior to the interview. References will be shared with other panel members after the interview. References should be checked against the application form to ensure that the information provided by the referee is consistent with the information provided by the applicant on the application form. The appointing officer / chair of panel will clarify or probe any discrepancies from within the reference during the interview if appropriate.

Need for References
At least two references will be required, one from the current employer and one from the other most recent employer. The School reserves the right not to automatically use the referees/employers provided by the candidate and will make an assessment on the most suitable referees. In these circumstances, the School will approach the candidate for permission to approach the alternate referee/employer prior to them being contacted. A reference may also be requested from a previous school / education employer should the current and most recent employer not be a school or education employer. In addition, a reference may also be requested from a previous employer when a candidate worked with children. Where a candidate is not currently employed, verification of their most recent period of employment and reasons for leaving should be obtained from the organisation at which they were employed.

References will be sought directly from the referee. References provided directly by the candidate with the application form or at interview will not be accepted. Open references should not be relied upon (e.g. 'to whom it may concern' testimonials) nor any information provided by the candidate as part of the application process without verifying that the information is correct. Where electronic references are received, it should be ensured that they originate from a legitimate source.

Previous employers, not named as referees, may be contacted to clarify any anomalies or discrepancies. This will only be in relation to administrative details and/or resolving any identified employment gaps, and not used as an informal means of canvassing views as to any applicants potential suitability for the post being applied for. On such occasions, the candidate will be notified in the first instance.

Any information about past disciplinary action or allegations that are disclosed should be considered carefully when assessing the applicant's suitability for the post.

B. Qualifications

All shortlisted candidates will be asked to bring with them to interview any relevant original qualification certificates (i.e. stated as essential requirements in the person specification). If these documents are not available at the interview, the Appointing Officer will inform the candidate that, if successful, they will be required to provide the certificates prior to the offer of employment being confirmed.

C. Pre-employment Medical Check

Pre-employment medical checks are used solely for determining the fitness of a prospective employee for a specific post, and to ensure their placement in a post will present no risk to the health of the applicant or other employees. Where candidates have declared a health condition and as a result are required to complete a detailed health questionnaire, this health questionnaire should be returned directly to the school's Occupational Health provider and not retained on the individual's personal file, since this will be considered as sensitive personal data.

The School's Occupational Health Service provider will only screen individuals who declare a pre-existing medical condition in order to consider whether the condition is considered a disability, will impact the ability to perform the role or whether any reasonable adjustments need to be made.

D. Disclosure and Barring Service Checks (DBS)

All posts which involve working directly with children and young people in schools are exempt from the Rehabilitation of Offenders Act (1974), Section 4 (2) by virtue of the Rehabilitation of Offenders Act (1974) (Exemption) (Amendment) Order 1986. Candidates for these posts are obliged to declare any pending court actions, all previous criminal convictions, bind over orders or cautions, which for other posts would be considered spent. Failure to disclose this information could lead to the offer of employment being withdrawn.

All posts within the School require an enhanced DBS certificate. Therefore a DBS certificate which is deemed satisfactory by the School must be obtained prior to a new employees start date. The successful employee will be required to provide the DBS certificate to the Headteacher as soon as possible after receiving it.

A criminal background will not automatically debar an applicant from employment. Where a DBS check discloses information that was neither previously disclosed by the individual nor discussed at interview stage, they must be interviewed by the Headteacher who will make a final decision as to whether or not employment will be confirmed. See Policy on Employing Ex-offenders (Appendix 4) and Risk Assessment Form (Appendix 6)

Information given by candidates will be treated in the strictest confidence. Access to the information given will be restricted to those with a legitimate business need to see it.

E. Overseas Applicants and Checks

If a candidate has lived or worked overseas in the five years prior to appointment, a 'Certificate of Good Conduct' must be obtained and provided by the candidate from each appropriate country/state. If an applicant is unable to obtain the document they must provide evidence confirming the attempts made and then a risk assessment will be undertaken by the Headteacher regarding confirmation of employment. All other pre-employment checks must be satisfactorily completed.

Note: Where candidates are applying for entry clearance under the Tier 2 (General) Worker in education, health or social care sector visa routes, they must provide a criminal record certificate for

any country (excluding the UK) where they have lived for 12 months or more (whether continuous or in total), in the 10 years prior to their application, while aged 18 or over (see Guidance on the application process for criminal records checks overseas April 2017 - https://www.gov.uk/government/publications/criminal-records-checks-for-overseas-applicants)

F. Teachers Status / Prohibition Orders / Section 128

The School will undertake a check against the Department for Education 'Employer Online Service' to confirm that a teacher has qualified teacher status and is not prohibited from teaching.

A Secretary of State Section 128 direction check will be conducted where the role includes management of an independent school, academy or free school. A section 128 direction also prohibits a person from taking up a position as governor of a maintained school.

G. Historic General Teaching Council for England (GTCE) sanctions/restrictions

There remain a number of individuals who are still subject to disciplinary sanctions, which were imposed by the GTCE (prior to its abolition in 2012).

H. Proof of Identity and Right to Work in the UK (Asylum and Immigration Act)

All applicants will be required to provide evidence of identity in line with the Asylum and Immigration Act 1996. The School is required to check that employees are legally able to reside and work in the UK. To adhere to this requirement, candidates for interview will be asked to bring with them appropriate evidence of identity. (See above section 23).

27. Offer of Appointment

The offer of employment will be confirmed in writing by the Headteacher to the successful candidate(s) as soon as possible after the interview. This will be a conditional offer of employment and is subject to satisfactory completion of the above-mentioned checks.

Once all pre-employment checks have been satisfactorily received, a formal unconditional offer of appointment will be confirmed in writing by the School to the successful candidate.

The School must ensure that the successful candidate receives a written statement of employment particulars and/or contract of employment explaining pay, working hours and other rights and responsibilities on or before the individual's first day of work.

The Appointing Officer will send all appropriate information from the recruitment process to the School's HR administrator, as appropriate.

28. Appointment of staff - offers of appointment and contracts of employment

All offers of appointment to posts which require a DBS check will be made conditional on the receipt of a satisfactory DBS check, in addition to references, verification of qualifications and medical clearance. The employee's offer letter will contain a clause stating that the offer of employment is subject to receipt of a satisfactory DBS check every three years (or at an appropriate frequency to be determined by the school).

29. Equalities Issues - Appointment

If a candidate requires any adjustments to be made to enable them to do the job, these will be discussed with the individual prior to their start of employment.

30. Probationary Periods

All new support staff employees will be subject to a probationary period and this will be confirmed in the unconditional offer of employment letter and the contract of employment.

31. Recruitment Monitoring

The School is required to monitor its recruitment processes and provide information on the diversity of applicants to fulfil our duty under the Equality Act 2010.

All applicants are required to complete a recruitment monitoring form as part of their application form. This form will be detached and stored separately and is not seen by any member of the selection panel.

Examples of the type of information we gain from the monitoring process include: numbers of applicants for posts, gender breakdown of applicants, age breakdown of applicants, ethnicity of applicants, disability status of applicants, where adverts are seen.

After an appointment has been made, the Appointing Officer is responsible for the completion of the recruitment/selection forms. These forms, together with any other interview and selection documentation, will be retained within the School for a minimum period of 6 months after appointment. Such information will then need to be disposed of in line with the school's retention policy.

32. Single Central Record

A single central record of all pre-employment checks will be maintained in accordance with KCSiE and Ofsted. This includes:

- All staff who are employed to work at the School including teacher trainees on salaried routes;
- All staff who are employed as supply staff* to the School whether employed directly by the School or local authority or through an agency;
- All others who have been chosen by the School to work in regular contact with children. This will cover volunteers, governors who also work as volunteers within the School, and people brought into the School to provide additional teaching or instruction for pupils but who are not staff members, e.g. a specialist sports coach or artists.

The single central record will include information on checks of:

- an identity check;
- a barred list check;
- an enhanced DBS check NOT A PHOTOCOPY – only disclosure number, issue date, checked for results and verification ;
- a prohibition from teaching check (see below)
  (NB This is not the same as a barred list check);
  - a prohibition check must be made for anyone undertaking 'teaching work' (with or without Qualified Teacher Status);
  - whilst not statutory, a prohibition from teaching check may be made for teaching assistants to ensure they are not a prohibited teacher
- further checks on people living or working outside the UK;
- a check of professional qualifications e.g. those posts where a person must have QTS;
- a check to establish the person's right to work in the United Kingdom; and
- in Independent schools (including academies and free schools), a section 128 prohibition check for people in management positions and governors in maintained schools.

**For supply staff provided through a supply agency the School will request written confirmation from the supply agency that it has satisfactorily completed all relevant checks. The School does not need to carry out or see the checks itself except where there is information contained in the DBS. They will not need a new DBS unless they have had a 3-month gap – also with the Update Service – DBS are portable. Identity checks will be carried out by the School to confirm that the individual arriving at the school is the individual that the agency intends to refer to them. Information disclosed as part of a DBS will be treated as confidential. In the event an agency worker becomes an employee, all checks must be conducted by the School as if an external candidate.*

33. Induction & Ongoing Training

All new employees will be subject to the School induction process during the first term of their employment.

In addition, the School recognises that as part of its commitment to create a safe workforce environment and culture, it needs to ensure all staff receive appropriate personal and professional development.

The aims of the School induction process are to:

- familiarise employees with their new environment
- be aware of the appropriate behaviours and standards of conduct expected
- help them to develop skills and the knowledge to do their job
- gain an awareness to how their post relates to the school's wider operational and strategic objectives
- gain an awareness of the culture of the School
- become a motivated and effective member of staff as quickly as possible
- maintain a vigilant culture where safeguarding is at the heart of its business

Training opportunities will be identified and agreed during an employee's annual appraisal. The School will ensure all employees receive appropriate training in accordance with any statutory requirements/priorities as well as to ensure its on-going commitment to developing employees.

34. DBS / Ongoing Employment Checks

This Safeguarding in Employment policy covers not just pre-employment checks, but also the on-going checks throughout employment for those working in a post that requires a DBS check.

If the School has valid concerns about an existing employee's continuing suitability to work with children, the School should undertake appropriate checks as are necessary to allay any concerns.

In particular the School will:

- not unfairly discriminate against the subject (i.e. a job applicant or existing worker) of disclosure information on the basis of a conviction or any other details that may be revealed
- discuss matters revealed in disclosure information with the person seeking the position before deciding on an appropriate course of action or withdrawing an offer of employment
- make every subject of a disclosure aware of the Disclosure and Barring Service 'Code of Practice' and ensure a copy is available on request

The School will handle disclosure information carefully.

35. Regular checks on existing staff

A vigilant approach in relation to safeguarding throughout employment will be maintained since a DBS disclosure is a 'snap-shot in time'. All staff are contractually required to comply with the requirement to renew their DBS every 3 years, unless they have been registered with the Update Service where the School can undertake periodic checks as appropriate. Staff will comply with these renewal processes in a timely manner when prompted to do so. If a disclosure is returned with nothing found there will be no further action until the next review date.

36. DBS check – Clear Record

If the disclosure is satisfactory the agency undertaking the check on behalf of the School will inform the School as part of the recruitment/on-going employment process.

37. DBS check – Record Returned

Candidates who have declared a criminal conviction, caution, reprimand, final warning or bindover which does not automatically bar them from the work for which they have applied, should not be allowed to start until the DBS check has been considered by the School and approved by the Headteacher accordingly.

The Headteacher on advice from the School's HR Service will decide on the suitability of the employment of a prospective member of staff if any issues are highlighted on the disclosure. A risk assessment must be undertaken and form completed if the decision is made to continue with the recruitment (see below section on Assessing the Relevance of Criminal Records and Appendix 6).

If an applicant believes the information provided by DBS is not correct, the applicant can contact the DBS to dispute the result.

38. Recruitment of Ex-offenders

The applicant's criminal record will be assessed by the Headteacher in relation to the role that the candidate will be required to undertake and the circumstances in which the work will be carried out. Advice will be sought from the School's HR Service. The policy for recruitment of ex-offenders can be found in Appendix 4.

39. Dealing with Concerns

In cases where a criminal record is disclosed, or a DBS check indicates that the person may be unsuitable to continue in employment, the School should seek advice from the School's HR Service to reach a decision whether the employee should be suspended from work or transferred temporarily to another post whilst this is under investigation. This may affect the employee's continuing employment with the School.

Employees are required to disclose to the Headteacher/Line Manager details of any criminal conviction/ caution/ reprimand/ final warning they acquire during their employment with School.

In circumstances where the police become involved with an employee, and where an employee is charged with a criminal offence, the matter should be dealt with under the Disciplinary Policy and advice sought from the Schools HR Service.

Refusal to have a DBS check, providing false information on a DBS form or any failure to declare a conviction, caution, reprimand or warning will be regarded as an act of gross misconduct under the School's Disciplinary Policy which could potentially result in dismissal.

If an applicant believes the information provided by DBS is not correct, the applicant can have the opportunity to contact the DBS to dispute the result.

The School has a legal duty to refer to the DBS anyone who has harmed, or poses a risk of harm, to a child or vulnerable adult where:

- the 'harm test' (https://www.gov.uk/guidance/making-barring-referrals-to-the-dbs#what-is-the-harm-test) is satisfied in respect of that individual;
- the individual has received a caution or conviction for a relevant offence, or if there is reason to believe that the individual has committed a listed relevant offence; and
- the individual has been removed from working (paid or unpaid) in regulated activity, or would have been removed had they not left.

The legal duty to refer applies equally in circumstances where an individual is deployed to another area of work that is not regulated activity, or they are suspended

40. Assessing the Relevance of Criminal Records

The suitability for employment of an individual with a criminal record will vary, according to the job and the details and circumstances of any convictions. In order to ensure that fair decisions are made, the Manager in conjunction with the Headteacher is required to assess the individual's criminal convictions in relation to the tasks that the applicant will be required to carry out and the circumstances in which the work will be carried out. The following considerations will apply in making the decision:

- Does the post involve 1-to-1 contact with children or other vulnerable groups as employees, customers and clients?
- What level of supervision will the post holder receive?
- Does the post involve direct contact with the public?
- Does the post involve any direct responsibility for finance or items of value?
- Will the nature of the job present any opportunities for the post holder to re-offend in the place of work?
- The seriousness of the offence(s) and its relevance to the safety of other staff, customers, clients and property
- The length of time since the offence(s) occurred
- Any relevant information offered by the applicant about the circumstances which led to the offence being committed, for example the influence of domestic or financial difficulties
- Whether the offence was a one-off, or part of a history of offending
- Whether the applicant's circumstances have changed since the offence was committed, making re-offending less likely
- The country in which the offence was committed; some activities are offences in Scotland and not in England and Wales, and vice versa
- Whether the offence has since been decriminalised by Parliament
- The degree of remorse, or otherwise, expressed by the applicant and their motivation to change
- The extent to which the school may have been brought into disrepute.

This list is not exhaustive and other matters may be taken into consideration.

41. Agency Workers

Agencies are contractually obliged to have checked the Disclosure to confirm the worker is suitable for the role and not barred from working with children. All agencies providing workers sign a supplier agreement which outlines the agency's obligation for candidate vetting and safer recruitment.

The School must not rely on an agency's confirmation of having undertaken this task. The disclosure must be the correct level for that post obtained by the agency within the last year. Before taking on the agency worker, the School must obtain written confirmation from the agency that the checks the School is required to carry out for its own staff (other than obtaining the Enhanced Disclosure) have been carried out by the agency. In relation to the Enhanced Disclosure, the written confirmation from the agency must confirm that an Enhanced Disclosure has been requested or received, and if received, whether it included any disclosed information. The School will be required to see a copy of the Disclosure. If a criminal record is disclosed, a Risk Assessment Form should be completed which can be found in Appendix 7, which will need to be authorised by the Headteacher prior to commencement of work.

Any post being filled through an agency should also include a 'safeguarding interview' referred to in Appendix 1, conducted within the School, rather than by the agency. If, whilst the worker remains in post, the disclosure expires (i.e. becomes over a year old) the Headteacher/Line Manager must ensure that the agency renew the disclosure or the agency worker ceases work.

Agency workers that move on to the School's payroll must have all background checks completed as if they were an external candidate undertaken by the school. Schools must not accept any duplicate background checks or DBS certificates obtained by the employment agency for their purposes.

42. Contractors

Managers should be aware of the responsibility for Contractors to obtain appropriate checks before they commence work with the School. This is in particular where the Contractor has been engaged directly or through a specialist agency by the Manager. There should be robust systems in place for ensuring that all contracted staff who may have unsupervised access to children or engage in regulated activity have been DBS checked. It is the responsibility of the Manager to ensure the correct checks have been carried out and there is no risk to the School.

Individuals such as psychologists, nurses, dentists, centrally employed teachers and other public sector staff will have been checked by their employing organisation, whether this is the Council, Primary Care Trust or Strategic Health Authority. It is not necessary for the School to see their Disclosure as appropriate checks will have been carried out. The exception to this is where people have been appointed by the Council to work at the School in the temporary absence of a member of staff of the School, in which case their Disclosure should be checked by the School.

Cleaning and catering staff working for a contractor must be checked by the contractor in the same way as School staff (i.e. including an Enhanced Disclosure) and such requirements should form part of the contract between the School's Governing Board and the contractor. The contract should also require the original Enhanced Disclosure to be produced to the School immediately upon request. The School should have sight of the original DBS Disclosure in respect of any member of the contractor's staff who will be working at the School, before that person starts work at the School.

Building contractors/tradespersons are not required to undertake an Enhanced DBS check prior to working in the School; they however should be escorted to their working areas and monitored regularly during their presence on site. Children should not be allowed in areas where builders are working for health and safety reasons and the contractors should be instructed not to enter into communication with pupils/students.

The School will check the identity of contractors and their staff on arrival at the School.

43. Volunteers

Managers should be aware of the responsibility for Volunteers to obtain appropriate checks where they may have unsupervised access to children. Under no circumstances should a volunteer, in respect of whom no checks have been obtained, be left unsupervised or allowed to work in regulated activity (see Appendix 3).

Volunteering under the day to day supervision of another person engaged in regulated activity (see Appendix 3), is not regulated activity and therefore there is no requirement to obtain an Enhanced CRB Disclosure.

The supervision must be reasonable in all circumstances to ensure the protection of children and it is for Headteachers and Managers to determine what is reasonable for their circumstances. The level of supervision may differ, depending on all the circumstances of a case.

The School should consider the following factors in deciding the specific level of supervision the school will require in an individual case:

- ages of the children, including whether their ages differ widely;
- number of children that the individual is working with;
- whether or not other workers are helping to look after the children;
- the nature of the individual's work and the individuals 'opportunity for contact with children;
- how vulnerable the children are (the more they are, the more an organisation might opt for workers to be in regulated activity);
- how many workers would be supervised by each supervising worker.

Volunteers working on an unsupervised basis where they are engaged in activities involving teaching, looking after children regularly or providing personal care on a one-off basis in the School will be considered as working in regulated activity. The School will therefore obtain an enhanced DBS certificate (which will include barred list information) who are new to working in regulated activity.

The School will undertake a risk assessment and use their professional judgement and experience when deciding whether to obtain an enhanced DBS certificate for any volunteer not engaging in regulated activity, which will be recorded.

44. Groups of staff not requiring a disclosure

Examples of people who do not need to apply for a Disclosure include:

- Visitors who have business with the Headteacher or other staff or who have only brief contact with children with a teacher present.
- Visitors who come on site only to carry out repairs or service equipment
- Secondary school pupils on work experience in other schools or nursery classes.
- Non-employees who are on site before and after school hours when children are not present, e.g. local groups who hire premises for community or leisure activities. Schools should ensure that hirers of school premises under licence (or who hire the premises for regular or occasional use) are given a copy of the school's Safeguarding Policy and declare their willingness to comply with it.

Enhanced Disclosure will apply to any staff or volunteers involved in after school activities if the work meets the definition of regulated activity**.**

45. Exceptional Cases

In very exceptional circumstances (see appendix 6), approval may be given by the Headteacher, in consultation with the Schools HR Service, to start a candidate with no valid DBS prior to DBS clearance. This is conditional upon:

i. Satisfactory references
ii. Qualifications check
iii. Medical clearance
iv. Only supervised access to children
v. A separate barred list check (where the post involves regulated activity)
vi. Signed Risk Assessment Form (Appendix 6, Form B)

The contract of employment must contain the appropriate paragraphs to confirm the arrangements under which they are working and must be signed before they start.

46. Third Parties

There may be circumstances where the School is asked to reveal details of a disclosure to a third party (for example, in connection with legal proceedings in a case submitted to an Employment Tribunal). In these situations, advice should be sought from the Schools HR Service.

47. Secure Storage and Access

The School complies fully with the DBS Code of Practice regarding the correct storage, handling, use, retention and disposal of disclosures and disclosure information. The School also complies with its obligations under the Data Protection Act and the General Data Protection Regulations. For more information please see Appendix 5 for the Policy on Handling Disclosure Information.

48. Monitoring and Review

The Governing Board will periodically monitor the outcomes and impact of this policy to ensure it is fit for purpose.

APPENDIX 1 - Safeguarding Interview Questions

A Guide for Managers

Interview questions to address suitable personal behaviours for applicants applying to work with children/young people.

Introduction
Once you have established your recruitment panel, one of the first jobs after the shortlisting process is to agree the interview question. These questions will be generic to ensure you ask each applicant to evidence their suitability to undertake the requirements of the post. However it is important to remember that you can ask follow on supplementary questions which may arise from the applicant's answers to your questions or related to information provided on the application form. Where possible, it is best to avoid hypothetical questions because they allow hypothetical answers. It is better to ask competency-based questions that ask an applicant to relate how they have responded to, or dealt with an actual situation, or questions that test an applicant's attitudes and understanding of issues.

Where a post has access to children/young people and assessed by the School as a 'safeguarding' role, you will also need to investigate a candidate's suitability in this area. These posts also require an Enhanced Disclosure and Barring Scheme check.

This guide is not a substitute for Safer Recruitment Training. If you are involved in recruiting to posts with a safeguarding element, you are advised to attend the safer recruitment training.

Please see table below for example questions.

Behaviours/competences	Positive responses	Negative responses
Motivations for working with children Self-awareness/knowledge and understanding of self and professional role. Example questions: • What do you feel are the main drivers which led you to want to work with children? • What do you have to offer in support of children? • How do you motivate children? • What has working with young people adults taught you about yourself? • In relation to working with children, what do you consider to be your strengths/areas for improvement? Can you give an example of how children have benefited from contact with you?	Well thought out and expressed reasons for working with the client group. Convincing responses based on balanced understanding of self and circumstance. Has a realistic knowledge of personal strengths and weaknesses. A realistic appreciation of the challenges involved in working with children. Good examples given with sound reasons for actions	Unconvincing responses based on unclear or theoretical examples. Not self-aware, do not see themselves as others do. Driven by personal needs not needs of others. Not realistic about personal strengths and weaknesses. Unrealistic impression of what working with children is really like. Pushed by others, or forced by circumstance, to do something they do not appear to have personally thought through.

Behaviours/competences	Positive responses	Negative responses
Emotional Maturity & Resilience Consistency under pressure, ability to use authority and respond appropriately, ability to seek assistance/support where necessary. Example questions: • Tell me about a time when you have been working with children and your authority was seriously challenged. • How did you react and how did you manage the situation? • What strategies did you employ to bring things back on course? • Tell me about a person you have had particular difficulty dealing with. • What made if difficult? • How did you manage the situation? Have you ever felt uncomfortable about a	Behaves consistently and appropriately under pressure or in a position of authority. Has control over emotions when dealing with adults and children. Understands power position and how to seek help in difficult circumstances Effective action identified and taken when concerns raised about a colleague's practice.	Inappropriate responses when under pressure or when in a position of power. Inconsistent responses. Handles conflict badly. Fails to control temper / emotions with children and or adults. Fails to identify when help or action is needed and fails to seek support and advice.
Behaviours/competences	Positive responses	Negative responses
Values & Ethics Ability to build and sustain professional standards and relationships Ability to understand and respect other people's opinions. Ability to contribute towards creating a safe and protective environment. Example questions: • What are your attitudes to child protection/safeguarding? How have these developed over time? • Tell me about a time when a child behaved in a way that caused you concern. How did you deal with that? Who else did you involve? • What are your feelings about children or adults who make allegations against staff? • How do you feel when someone holds an opinion which differs from your own? How do you behave in this situation?	Demonstrates a balanced understanding of right and wrong. Puts the client first. Is aware of the realities of abuse. Prepared to believe the client. Shows a contemplative approach, drawing on personal experiences and lessons from others. Builds values & judgements based on new information. Shows a balanced understanding of risk and can identify the appropriate course of action. Shows an appreciation of safeguarding issues and an ability and responsibility to contribute towards a protective environment.	Extreme opinions which do not account for the views/feelings of others. Fails to show balance in opinion. Does not build on new information or understanding. Demonstrates hardened opinion not adjusted to circumstances Does not show a full or rounded appreciation of safeguarding issues. Dismissive of, or underplays, the risks. Consistently puts the blame and responsibility for child protection/safeguarding elsewhere. Fails to believe in suspicions / reports of abuse.

Other additional questions or follow up action at interview:

If there are any gaps in the applicant's employment history this should be explored.

If the status of the referee is unclear on the application form (i.e. not clear if this is the applicant's previous line manager) or if a previous employer has not been asked to provide a reference an explanation should be sought from the applicant.

If there are any concerns or discrepancies arising from information provided by the applicant (e.g. application form, answers to questions) these should be explored.

The applicant should be asked if they wish to declare anything in light of the requirements for a DBS disclosure

If references are not available at the time of the interview, the applicant should also be asked at interview if there is anything they wish to declare or discuss prior to the School seeking information from their referees

For further advice and support on any aspect of the interview process, please contact the School's HR Service provider.

APPENDIX 2 - Types of Disclosure

Under the Rehabilitation of Offenders Act 1974, it is unlawful to discriminate against an ex-offender on the grounds of a spent conviction with the exception of those posts exempt from the Act.

The Safeguarding Vulnerable Groups Act 2006, as amended, creates a number of offences to prevent barred people from working in regulated activities. The School, as an employer and regulated activity provider, and individuals, can be convicted of a criminal offence if a person who is barred from engaging in a particular activity does actually engage in that activity. A regulated activity provider also commits an offence if it permits a person to engage in a regulated activity while knowing or having reason to believe that the individual is barred.

There are 3 different levels of DBS check available.

1. **Standard Disclosure:**
   This provides information about convictions, cautions, reprimands and warnings held on the Police National Computer (PNC), regardless or not of whether they are spent under the Rehabilitation of Offenders Act 1974. The law allows for certain old and minor matters to be filtered out.

   To be eligible for a standard level DBS check, the position **must** be included in the Rehabilitation of Offenders Act (ROA) 1974 (Exceptions) Order 1975.

2. **Enhanced Disclosures:**
   This provides the same information as a standard check, plus any approved information held by the police which a chief officer reasonably believes to be relevant and considers ought to be disclosed.

   To be eligible for an enhanced level DBS check, the position **must** be included in both the ROA Exceptions Order **and** in the Police Act 1997 (Criminal Records) Regulations.

   Enhanced with barred list check:
   Where people are working or seeking to work in regulated activity with children, this allows an additional check to be made as to whether the person appears on the children's barred list.

   To be eligible to request a check of the children's barred lists, the position **must** be eligible for an enhanced level DBS check as above **and** be specifically listed in the Police Act 1997 (Criminal Records) Regulations as able to check the barred list(s).

3. Basic Disclosure:
These are the lowest level of disclosure and only contain details of unspent (current) convictions. Basic disclosures are recommended for verifying information from applicants for posts that are not exempt under the Rehabilitation of Offender Act (Exemptions) Order, but where the individual is appointed to a 'position of trust'.

APPENDIX 3 - Regulated Activity Relating to Children

Types of Disclosure and Regulated Activity

In order to protect children, all posts within the School are exempt from the Rehabilitation of Offenders Act 1974 and candidates will require an Enhanced level DBS check.

A person is defined as a child if they are under the age of 18.

There are three types of checks available please see Appendix 2 for more information.

Regulated activity

The full legal definition of regulated activity is set out in Schedule 4 of the Safeguarding Vulnerable Groups Act 2006 as amended by the Protection of Freedoms Act 2012.

Regulated activity relating to children is defined as work that a barred person must not do.

Regulated activity includes:

a) teaching, training, instructing, caring for (see (c) below) or supervising children if the person is unsupervised, or providing advice or guidance on physical, emotional or educational well-being, or driving a vehicle only for children;

b) work for a limited range of establishments (known as 'specified places', which include schools and colleges), with the opportunity for contact with children, but not including work done by supervised volunteers.

Work under (a) or (b) is regulated activity only if done regularly. Some activities are always regulated activities, regardless of frequency or whether they are supervised or not. This includes:

c) relevant personal care, or health care provided by or provided under the supervision of a health care professional:
   - personal care includes helping a child with eating and drinking for reasons of illness or disability or in connection with toileting, washing, bathing and dressing for reasons of age, illness of disability;
   - health care means care for children provided by, or under the direction or supervision of, a regulated health care professional.

General exceptions:

- Regulated activity relating to children does not include:
- Family arrangements, and personal, non-commercial arrangements.
- Activity by a person in a group assisting or acting on behalf of, or under direction of, another person engaging in regulated activity in relation to children.

APPENDIX 4 - Policy on Employing Ex-offenders

1. As an organisation using the Disclosure and Barring Service (DBS) disclosure service to assess applicants' suitability for positions of trust, the 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.

2. The School is committed to the fair treatment of its staff, potential staff and service users, regardless of race, gender, religion, sexual orientation, responsibilities for dependents, age, physical/mental disability or offending background.

3. This document forms our written policy on the recruitment of ex-offenders, and is made available to all disclosure applicants at the outset of the recruitment process.

4. 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.

5. A disclosure is only requested after the Manager indicates that one is required for the role. For those positions where a disclosure is required, all job adverts will contain a statement that a disclosure will be requested in the event of the individual being offered the position.

6. Where a disclosure is to form part of the recruitment process, we encourage all applicants called for interview to provide details of their criminal record at an early stage in the application process.

7. At interview, or in a 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 withdrawal of an offer of employment.

8. We make every subject of a DBS Disclosure aware of the existence of the DBS Code of Practice.

9. We undertake to discuss any matter revealed in a disclosure with the person seeking the position before withdrawing a conditional offer of employment.

10. Having a criminal record will not necessarily bar applicants from working with us. This will depend on the nature of the position and the circumstances and background of the offences.

11. Unless the nature of the position allows the School to ask questions about an entire criminal record, we only ask about 'unspent' convictions as defined in the Rehabilitation of Offenders Act 1974.

13. For non-safeguarding posts, we observe that most convictions and cautions become 'spent' after a specified period, as determined by the Rehabilitation of Offenders Act 1974. Following this, an offender does not have to reveal his/her spent convictions or cautions to an employer.

APPENDIX 5 - Policy on Handling Disclosure Information

General

As an organisation using the Disclosure and Barring Service (DBS) checking service to help assess the suitability of applicants for positions of trust, the School complies fully with the Code of Practice regarding the correct handling, use, storage, retention and disposal of certificates and certificate information. It also complies fully with its obligations under the Data Protection Act 1998 and other relevant legislation pertaining to the safe handling, use, storage, retention and disposal of certificate information and has a written policy on these matters, which is available to those who wish to see it on request.

There may be occasions when the School is asked to reveal details of a disclosure to a third party in connection with legal proceedings (e.g. an employment tribunal). In such instances the School will inform the DBS of the request immediately, and prior to the release of any information.

Usage

Certificate information is only used for the specific purpose for which it was requested and for which the applicant's full consent has been given.

APPENDIX 6 - Risk Assessment Form

for:

A. When a DBS check discloses a criminal record OR

B. Start date pending DBS check/full pre-employment checks

Please complete the relevant sections of the form as indicated.

The completion of the risk assessment form is the responsibility of the Hiring Manager. It must be authorised by the Headteacher before the person can commence or continue working at the School. Completed risk assessment forms must be placed on the individual's personnel file.

In exceptional circumstances only, staff or volunteers who work with children may work without an enhanced DBS certificate, provided they are closely supervised (i.e. within sight and sound of someone with a clear DBS check). However, this will normally only be permitted, when not allowing them to work would disrupt the care of children; e.g. where there is a regulatory requirement to have a ratio of staff to number of children. People may only work in these circumstances when the following applies:

1	The appointment is necessary to allow the service provision to continue.
2	In the case of children, the person has an enhanced DBS certificate issued within the last year by another body and the person provides the original enhanced DBS certificate to the appointing manager as evidence
3	An enhanced DBS check has been applied for.
4	The person has no unsupervised contact with children.
5	Any access to databases containing personal information is permitted only after authorisation by the Headteacher.
6	This risk assessment has been completed and signed off by the Headteacher.

Due to the high risks involved, School staff employed to work in one to one situations ***must not start work*** until a DBS **certificate** has been received.

Please note that candidates may be able to carry out induction, training and supervised tasks whilst waiting for the DBS certificate to be returned.

PART 1 – FOR THE APPLICANT TO COMPLETE

Please complete only when a DBS check discloses a criminal record

Your DBS certificate has been returned with information contained on the certificate which may be relevant to your employment. This will not necessarily prohibit you from working within the School. It will depend on the nature of the position that you have applied for and your circumstances at the time of the incidents or offences. We would therefore like to give you the opportunity to provide an explanation for these incidents or offences, as well as the circumstances around you at the time. *We need to know who was involved, when it occurred, what occurred, where the incident or offence was committed and why it was committed.

Please complete the following information. Please be aware that to withhold information or to give false information will be regarded as an attempt to falsify records which constitutes gross misconduct and will, if proved, lead to dismissal under the School's procedures.

Name:	**Date of Birth:**
Position Applied for:	**School:**
Job Reference:	**Proposed Start Date:**

Offence or Incident 1:
Date of Offence or Incident:
Details*(i.e. Who was involved; What occurred; Where was it committed):
Offence or Incident 2:
Date of offence or incident:
Details*(i.e. Who was involved; What occurred; Where was it committed):
Offence or Incident 3:
Date of offence or incident:
Details*(i.e. Who was involved; What occurred; Where was it committed):

Declaration by Applicant

I certify that the information I have provided on this document is true and complete. I understand that to knowingly make a false statement or omit information will result in my job or volunteering application being unsuccessful or, if employed, facing possible dismissal or other disciplinary action.

Signature:	**Print:**

PART 2 – FOR THE HIRING MANAGER TO COMPLETE

Please complete when a DBS check discloses a criminal record OR for start date pending DBS check/full pre-employment checks

Name of Candidate:	**Date of Birth:**
Job Title: **Job Ref No:**	**Location:**
Proposed Start Date:	Name of Manager Conducting Assessment:

A: BACKGROUND INFORMATION CHECK

Please complete when a DBS check discloses a criminal record OR for start date pending DBS check/full pre-employment checks

Information required	Notes/Confirmation
Has the Recruitment Checklist been completed, including all of the following? Application Form - check gaps (breaks between employment), discrepancies or anomalies A Safer Recruitment Style Interview been conducted.	
Appropriate and satisfactory references covering the period of 3 years prior to commencement have been received.	
Give details where you have obtained clarification or missing information on the applicant or verification of the referee's position in the organisation.	
Qualifications – Have you checked and verified that the candidate's qualifications fulfil the requirements in the selection criteria?	
Has the candidate completed the Convictions Policy Statement on the Application form regarding the Rehabilitation of Offenders Act 1974? Please state the information they supplied.	
Has the candidate completed the pre-employment health screening questionnaire and confirmed as acceptable by the Resourcing Team?	
Have you seen and verified asylum and immigration checks?	

B: ASSESSING THE RISKS

Please complete only when a DBS check discloses a criminal record

Question	Comments
Did the applicant declare the matters on the DBS Application form?	
Does the individual agree that the information detailed on the DBS Certificate is correct?	
Were any offences work-related or committed within the context of a work setting?	
Were any offences committed within the last 2 years?	
Would they do anything differently now?	
Has the individual's circumstances changed since the conviction/s e.g. location/friends/partner/ education?	
Are there any mitigating circumstances? e.g. immaturity, traumatic life event	
Do the matters disclosed form any pattern e.g. repeat offences or repeat motivation (anger/financial/drugs/alcohol	
Can the applicant demonstrate any efforts not to re-offend? e.g. Rehabilitation courses, Anger Management course, help for alcohol/drug abuse.	
Does the post have any direct contact with the Child Workforce and if so how vulnerable are they?	
Can safeguards be implemented to reduce/remove any risk e.g. no unsupervised contact?	
What supervision is available and how readily?	

C: Disclosure and Barring Checks

Please complete only where Start date pending DBS check/full pre-employment checks

Disclosure and Barring Checks	**Comments**
1. Does the candidate already hold a DBS certificate? If not, please go to Q6.	
2. Was the DBS certificate obtained by Brent?	
3. Was the DBS certificate issued within the last 12 months?	
4. Is the DBS certificate "Enhanced level"?	
5a If the candidate is going to work with children the DBS certificate must indicate "None Recorded" against the DBS Children's Barred list information.	
6. Has the candidate completed a new DBS certificate Application form? Confirm date that the application has been verified and forwarded to the DBS for processing. Failure to provide a date may mean delays in the person commencing work.	
7. Has the candidate been a resident outside of the United Kingdom? If yes, is the candidate able to produce the Police Check or DBS equivalent from other countries lived in? If no, is a Police Check or DBS equivalent from that country being sought?	
1. Does the post have any direct contact with the public and if so how vulnerable are they?	
2. Can safeguards be implemented to reduce / remove any risk e.g. no unsupervised contact?	
10. What supervision is available and how readily?	

D. Any other information

Please complete when a DBS check discloses a criminal record OR for start date pending DBS check/full pre-employment checks

Is there any other information relevant to this Risk Assessment regarding the candidate, the work itself or the location/environment where the activities will take place?

Level of Risk: Please complete the level of risk posed by appointing/employing the individual in this job. Give reasons.	
High Risk	
Medium Risk	
Low Risk	
Can protective measures be put in place to render the risk low? Yes / No	
Steps to be implemented as a result of Risk Assessment e.g. Restriction of access to children/information; additional supervision; temporary changes of work location; temporary diversion of low risk tasks or training.	

E: Approval

Please complete when a DBS check discloses a criminal record OR for start date pending DBS check/full pre-employment checks

Authorised by Headteacher
Is this person suitable to start work before the DBS certificate is returned or to continue working under the conditions proposed above? Yes/No **Comments: (Reasons for decision)**

Has HR advice been sought? Yes/No **HR advice received:** **Name of HR adviser/HR provider:**	**Date HR advice received:**
Risk Assessment completed by: Signed (Hiring Manager) Date: Print Name (Hiring Manager)	**Risk Assessment Authorised by:** Signed (Headteacher/Chair of Governors) Date Print Name (Headteacher/Chair of Governors)

Completed risk assessment forms must be placed on the individual's personnel file.

APPENDIX 7 - Pre-Interview Self-Declaration for Shortlisted Candidates Form

[INSERT ON SCHOOL LETTERHEAD]

Pre-Interview Self-Declaration for Shortlisted Candidates Form

Information for Candidates:

Congratulations on being shortlisted! As a School we need to ensure any individual we choose to employ is suitable to work with children - as we are committed to safeguarding and promoting the welfare of children and young people, and adults at risk of harm. Therefore, all staff, workers and volunteers are expected to share this commitment and as applicable achieve a satisfactory Disclosure & Barring Service (DBS) check prior to appointment/commencement.

As the position you have applied and been shortlisted for involves work with children it is not covered by the provisions in the Rehabilitation of Offenders Act 1974. When answering questions 1 to 3 on page 3 of this form, you must declare criminal convictions and/or cautions that are not 'protected' under the Exceptions Order (as amended). This includes UK, overseas and armed forces convictions, cautions and relevant service discipline convictions where it would be considered an equivalent offence in England and Wales.

We recognise the contribution that ex-offenders can make as employees and volunteers and welcome applications from them. A person's criminal record will not debar that person from being appointed to this school, although there will be certain offences that will not make them suitable to work with children or legally allow them to work with children/in childcare. Any information given will be treated in the strictest confidence. Suitable applicants will not be refused posts because of offences which are not relevant to, and do not place them at or make them a risk in, the role for which they are applying.

All cases will be examined on an individual basis, taking the following into consideration:

- Whether the conviction is relevant to the position applied for.
- The seriousness of any offence revealed.
- The age of the applicant at the time of the offence(s).
- The length of time since the offence(s) occurred.
- Whether the applicant has a pattern of offending behaviour.
- The circumstances surrounding the offence(s), and the explanation(s) offered by the person concerned.
- Whether the applicant's circumstances have changed since the offending behaviour.

It is important that applicants understand that failure to disclose all cautions, convictions, reprimands or final warnings that are not protected could result in disciplinary proceedings or dismissal.

Free, confidential advice can be sought from the organisations below to help you understand whether to disclose certain criminal record information:

Nacro – https://www.nacro.org.uk/ Tel: 0300 123 1999 Email: helpline@nacro.org.uk

Unlock – https://unlock.org.uk/ Tel: 01634 247350 Email: advice@unlock.org.uk

We respectfully ask that you:

- complete the questions overleaf as part of our pre-interview self-disclosure,
- seek independent advice (if you need to) before completing this form, and
- return this form to us by the date indicated below.

Completed Form to be returned to School by:	

By returning the form to us by the date noted above, this will allow us to review the information you have provided as part of our pre-interview process; it is important we receive the information/form as least one (1) full working day prior to your interview.

Please be advised that if the form/information is not returned to us by the date as noted above, we reserve the right to withdraw our offer of an interview/ may choose not to progress with your interview/application.

Why do we ask for this information?
In accordance with the DBS Code of Practice as you have been shortlisted, you are required to declare any relevant convictions, adult cautions or other matters which may affect your suitability to work with children (or adults). We will use this information as part of our interview/ pre-screening process.

Private and confidential

All information will be treated as confidential and managed in accordance with relevant data protection legislation and guidance. You have a right of access to information held on you under the Data Protection Act 2018.

Employee information	
Name (forename & Surname)	
Post Applied For:	

Declaration of individual		
1. Do you have any convictions or adult cautions that are unspent under UK law?	No ☐	Yes – please provide further information ☐
2. Do you have any other cautions or convictions that would not be filtered under UK law?	No ☐	Yes – please provide further information ☐
3. Have you been convicted of any other offence in any country which has not yet been disposed of?	No ☐	Yes – please provide further information ☐
4. Are you included on the DBS children's barred list?	No ☐	Yes – please provide further information ☐
5. Have you ever been disqualified from working in Childcare?	No ☐	Yes – please provide further information ☐
6. Have you lived or worked outside the UK for more than 3 months in the last 5 years?	No ☐	Yes – please provide further information ☐
7. Have you ever been known to any Children's Services department or the police as being a risk or potential risk to children?	No ☐	Yes – please provide further information ☐
8. (*Teaching posts only*) Are you, or have you ever been, prohibited from teaching by the	No ☐	Yes – please provide further information ☐

Teaching Regulation Agency or sanctioned by the General Teaching Council for England?		
9. Have you been the subject of any formal action/ disciplinary sanction by any organisation due to concerns about your behaviour towards children?	No ☐	Yes – please provide further information ☐
10. Have you ever been dismissed for misconduct from any employment, volunteering, or other position previously held by you, in circumstances which may have a bearing on your suitability to work with children?	No ☐	Yes – please provide further information ☐
11. Are you currently subject to any fitness to practise investigations or proceedings by a regulatory, governing, or licensing body in any country, which may have bearing on your suitability for this position?	No ☐	Yes – please provide further information ☐
12. (*Management posts in Independent Schools or Academies only*) Have you been prohibited from management of an independent school (s128)	No ☐	Yes – please provide further information ☐

Please tick the boxes below and then sign this form.

☐	I agree that the information provided here may be processed in connection with recruitment purposes and I understand that an offer of employment may be withdrawn or dismissal may result if information is not disclosed by me and subsequently comes to the organisation's attention.
☐	In accordance with the organisation's procedures, if required I agree to provide a valid DBS certificate* and consent to the organisation clarifying any information provided on the disclosure with the agencies providing it.
☐	I agree to inform the organisation within 24 hours if I am subsequently investigated by any agency or organisation in relation to concerns about my behaviour towards children or young people.

☐ I understand that the information contained on this form, the results of the DBS check* and information supplied by third parties may be supplied by the organisation to other persons or organisations in circumstances where this is considered necessary to safeguard other children.	
Signature	✘
Print name	
Today's date	