Exceed Learning Partnership
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Safer Recruitment Policy

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Academy to implement without amendment (using appendix when required)	

Summary of Changes from Previous Version

Version	Date	Author	Summary of Updates
V10	Oct 2023	Advanced HR	7.10 – addition of Shortlisted candidates will be advised that an online search will be undertaken for due diligence within the application form.
V11	Jan 2024	Advanced HR	Updates made to appendices
V12	Jan 2024	Strategic Safeguarding Lead	Update made to appendix 12 and 14 wording within document
V13	Aug 2024	Strategic Safeguarding Lead	Document moved to new Trust branding
V14	Sept 2024	Strategic Safeguarding Lead	7.10 – addition of "The Trust or academy will treat any references, either given or received, as confidential in accordance with the exemption under the UK GDPR regulations." Appendix 10 – addition of "CONFIDENTIAL REFERENCE REQUEST"
V15	Aug 2025	Head of Safeguarding and Inclusion	Update signature of Chair of Directors.
V16	Oct 2026	Advanced HR	Updates in line with KCSIE 2026.

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1. Introduction to Safer Recruitment Policy

Effective recruitment processes are of paramount importance to recruit staff with the necessary skills and attributes to enable the school to fulfil its priorities. It is also the first step to safeguarding and promoting the welfare of our children and young people. We expect all staff, governors and volunteers to share this commitment.

1.1. At all times recruitment and selection must be fair, effective, robust and safe for the purposes of building and maintaining an effective workforce; ensuring that individuals with the right skills are in the right roles. It is imperative that the school fosters a culture of safe recruitment from the start of the process to the end, to ensure that it deters, rejects and identifies people who may pose a risk to our children.

1.2. The purpose of the Recruitment and Selection Policy is to:

- Promote and safeguard the welfare of our children
- Ensure legislative and equality duties are met
- Ensure a transparent, fair and objective recruitment process
- Select appropriate and cost-effective attraction methods
- Recruit staff with the appropriate skills, competencies and experience in order to meet the school's current and future needs.
- Ensure that staff appointed to posts are appropriately qualified to carry out the duties and responsibilities of the post
- To ensure that all newly appointed staff are safe to be in the school
- Develop and enhance the public image and reputation of the Academy, both as an employer and as a provider of high-quality education

2. Who does this policy apply to?

2.1. The safer recruitment policy will apply to the appointment of all roles within Exceed Learning Partnership, including internal appointments and acting up/interim appointments across all areas.

2.2. There are times when it is necessary for short-term acting up or interim appointments to be put in place where it would be to the school's detriment or that of its pupils if such arrangements were not actioned immediately. This will only apply where a member of staff is absent from work on a short-term basis lasting no more than 4 months. The appointed employee must be paid the relevant remuneration for that post. Any appointment which is expected to last more than 4 months should be advertised and appointed following the principles of this policy.

3. Key Principles of Safer Recruitment

3.1. We aim to select and appoint the best people for the job and develop them to perform to the highest professional standards. The following principles will be adhered to at all times:

- Where applicable, all new posts will undergo a job evaluation process to establish the pay and grading for the post. All existing posts will be advertised using the already evaluated Trust pay and grading for the role.

- The Recruitment process will have a strong focus on the safeguarding and promoting the welfare of pupils and ensuring that all employees are safe to be in school.

- The Trust will undertake robust checks in line with KCSIE as set out in this policy.

- The criteria for selection must be based on the relevant knowledge, skills, qualifications and experience required in order to carry out the role as described in an up-to-date job description and person specification.

- Recruitment decisions **must not** be taken by one individual. This must involve a panel of at least two.

- Anyone involved in the recruitment and selection process who has a relationship which may affect their ability to be impartial must declare this to the other members of the panel. A decision will be made and documented as to whether or not it is appropriate to continue participation in the recruitment and selection process.

- Training is provided for those involved in recruitment and selection decisions. Exceed Learning Partnership requires at least one member of any recruitment panel to be safer recruitment trained. Safer Recruitment training should be refreshed regularly and in line with updated advice from the Government and changes in legislation.

- Candidates should be evaluated against their ability to perform the functions of the specific job, as set out in the job description and person specification.

- Interviews must be conducted in a fair and consistent manner and be structured and systematic to ensure that questions asked relate to the experience, skills and qualifications outlined in the person specification.

- Candidates' expenses for the selection process will be paid only at the Academy's discretion, where it is deemed a reasonable expense. This will be paid from the Academy's budget.

- All information on application forms must be treated as confidential, in accordance with Data Protection and the General Data Protection Regulations (GDPR) 2018 and restricted to those involved directly in the recruitment process and its administration.

- Offers of appointment **must** be conditional and subject to the receipt of appropriate references, checks and clearances being obtained, they **must not** be confirmed to the individual until this has been completed to the satisfaction of the recruitment panel.

- The recruitment process and decisions arising from it must be documented. All recruiting managers and panel members must therefore ensure that they maintain adequate, robust and

appropriate records; either written or electronic. Once the process has been completed documentation will be held on the personal file of the successful candidate. Documents for unsuccessful candidates will be retained within SAMPeople for a period of 6 months.

4. Analysis of Vacancies

4.1. When an employee leaves ELP there is often pressure to fill the vacancy without delay. However, it presents an ideal opportunity to review existing staffing arrangements and take stock of present or future demands on the service. Therefore, before the recruitment process begins, the following points should be considered by the school:

- Is it necessary to fill the vacancy?
- Does the job role require any changes in duties or responsibilities?
- Are there other ways that the role can be delivered?
- Is there adequate budget available to fund the post?
- What is the potential impact of not filling the post?

4.2. If after analysing the role the school feel there is sufficient justification to fill the post then the recruitment process can commence.

4.3. This is an opportunity for the job description and person specification to be reviewed and revised accordingly.

4.4. The job description will set out the key duties and responsibilities of the post. The person specification will reflect a profile of the ideal candidate in terms of their education, knowledge, experience, skills and other attributes needed to do the job. The Head teacher/manager is responsible for ensuring that the job description and person specification is up to date and relevant for the post. All job descriptions should state whether the role is in regulated activity or not. (See appendix 7 for the definition of regulated activity)

4.5. If a new support staff post is being established or the duties and responsibilities have changed since the post was last filled, it is good practice within the school to ensure they follow a consistent method of evaluation of the role to determine the grade by submitting the job description to the Deputy CEO of the trust.

5. Advertising and Commitment to Safeguarding

5.1. Safer recruitment is one of the strands of safeguarding and promoting the welfare of children. Exceed Learning Partnerships is committed to a process that promotes the welfare of children.

5.2. Job descriptions will include a statement to promote the safety and wellbeing of the children and young people in the Academy.

5.3. Advertisements for positions will include a clear statement regarding Exceed Learning Partnership's commitment to safeguarding and the need for an enhanced DBS Check, such as:

*"We are committed to safeguarding and promoting the welfare of children and applicants will undergo child protection screening appropriate to the post, including checks with past employers. The role is exempt from the Rehabilitation of Offenders Act 1974 and therefore candidates will be subject to an enhanced **DBS** certificate, the role is engaged in regulated activity and will therefore require a children's barred list check. Shortlisted applicants will be required to complete a self-disclosure"*

5.4. Questioning of candidates at interview will include robust questions about the safeguarding of children.

5.5. Vacancies should not be advertised by 'word of mouth' alone since people/groups that may be underrepresented in the area are unlikely to hear about them and it may lead to claims of discrimination.

5.6. A great deal of emphasis is placed on continuous professional development and in doing so we actively seek to promote succession planning and career guidance for employees. When a vacancy arises consideration will always be given to internal recruitment to allow for career progression and succession planning. Internal recruitment will be carried out as a fair and equitable process.

5.7. An assessment on whether there is a clear skills gap in the school will be made and consideration applied whether advertisement outside of the school is necessary. Senior Leader posts will be advertised in a manner that is appropriate.

5.8. Prospective applicants are supplied with the following through the Trust SAM Recruitment Portal:

- Application Form
- DBS enhanced disclosure requirement
- Trust/School Information
- Recruitment timeline
- Job Description & Person Specification

Prospective candidates will be directed to the website to familiarise themselves with the culture and values of Exceed Learning Partnership

5.9. Successful applicants are also supplied with the following through the Trust SAM Recruitment Portal

- Safeguarding Policy which states who is the DSL.
- Code of Conduct

5.10. The application form must have a clear statement which sets out that certain spent convictions and cautions are protected and not subject to disclosure, below is the standard statement to be included in the application form. Guidance on what should be /should not be disclosed will be provided to candidates (see flow chart of self-disclosures at appendix 11). This is sent out to candidates invited to interview for completion before the interview day.

"The Amendments to the Exceptions Order 1975 (2013 & 2020) provide that certain spent convictions and cautions are 'protected' and are not subject to disclosure to employers and cannot be taken into account. Guidance and criteria on the filtering of these cautions and convictions can be found on the Ministry of Justice website"

5.11. All application forms must be fully completed by the candidate. Candidates invited to interview will be asked to sign a copy of the online application form on the day of the interview to confirm that the information that they have provided is factual. Any information that is misleading or not factual will disqualify them from the appointment and if appointed may result in disciplinary action including dismissal. Candidates invited to interview will be asked to sign a copy of the online application form on the day of the interview.

6. Shortlisting and Interviews

6.1. All application details must be treated with the utmost confidentiality. Information obtained in the course of the recruitment and selection process which may include information of a sensitive or personal nature must be kept secure and retention periods should be adhered to. All candidates must complete the appropriate application form in full. For the purposes of Safeguarding application forms should be scrutinised for gaps in employment. CV's are not accepted.

6.2. The panel/persons involved in the short-listing of the candidates for interview should be the same panel of people who will be involved in the interviews for consistency throughout the process. Shortlisting should be carried out by at least two people and selection must be based only on the criteria identified in the person specification. Shortlisting must not take account of the protected characteristics of a candidate, which includes;

6.3. Except where there is a Genuine Occupational Requirement which can be lawfully justified (for example, Faith schools' ability to appoint according to the religious beliefs of the school). These circumstances are limited and usually apply where it can be justified that to fill a role the candidate must have one of these characteristics. The recruiting panel must seek advice from their HR in order to determine if there is a Genuine Occupational Requirement and must not make the decision in isolation.

6.4. Shortlisted candidates will be required to complete a self-disclosure in advance of the interview. This must be completed and given to the panel for their consideration. Information disclosed under the Rehabilitation of Offenders Act 1974, and the amendments to the Exceptions Order 1975 (2013 & 2020) provide that certain spent convictions and cautions are 'protected' and are not subject to disclosure to employers and cannot be taken into account. The employer **must** draw applicants attention to the guidance on filtering on the Ministry of Justice Website. Disclosures must not be taken into consideration at the shortlisting stage. Self-Disclosure forms **must only** be provided to those candidates who have been shortlisted. Any disclosure made must be provided to the interview panel in a sealed envelope so that they may ask the candidate questions at the interview. Anybody who makes disclosures must also be subject to a DBS Enhanced and Barred list check. See appendix 11 for a Criminal Convictions self-disclosure form.

6.5. Panels **must** be aware that any protected, spent convictions & cautions that are incorrectly disclosed by candidates, should not be questioned. Panels are advised to be aware of the disclosure chart at appendix 13 and seek advice from HR. Disclosed information (self-disclosure) can be considered against

the Rehabilitation of Offenders Act (ROA 1974) and amendment order in 2013 & 2020; information regarding unspent cautions and convictions plus any offences that would not be filtered can be discussed with the candidate as part of assessing their suitability to work with children. Employers are advised to contact HR if they require clarification on discussions regarding self-disclosures.

6.6. If the employer participates in the "Positive about Disabled People" Scheme, commonly known as the "Two Ticks" Scheme. It is essential that recruiting managers and panel members check when shortlisting to see if anyone has applied under the scheme and if so, whether their application indicates that they meet the essential criteria for the post. If the applicant does meet the essential criteria, they should be invited to attend an interview and asked if they require any reasonable adjustments in relation to the interview process.

6.7. References should be sought on all short-listed candidates, before interview so that any issues of concern can be explored further with the referee and taken up with the candidate at interview. References form an important part of the process and should be scrutinised for any inconsistencies against the application form. Applicants who have previously worked in schools (despite this not being one of their last two employers) will be advised that the school will contact the last employment where they worked with children for a reference. Two written references are required from the candidate's present or most recent employer (paid work). See Appendix 10 for a sample reference request form.

6.8. References should always be requested directly from the referee and preferably from a senior person with appropriate authority, not just a colleague. Employers should not rely on open references, for example in the form of 'to whom it may concern' testimonials, nor should they only rely on information provided by the candidate as part of the application process without verifying that the information is correct. Where electronic references are received, employers should ensure they originate from a legitimate source. Reference requests should also question a candidate's suitability to work with children and whether there were any substantiated safeguarding concerns/allegations that met the threshold.

6.9. On receipt, references should be checked to ensure that all specific questions have been answered satisfactorily. The referee should be contacted to provide further clarification as appropriate, for example if the answers are vague or if insufficient information is provided. They should also be compared for consistency with the information provided by the candidate on their application form. Any discrepancies should be taken up with the candidate. On receipt, references should be verified with the person who provided the reference.

References should not be sought from private email addresses; they should always be directed to a work/organisation email address to ensure the validity of the organisation.

References must be obtained from the employer i.e. managers and not co- workers.

References must confirm dates of employment and must be checked against application forms.

The referees put forward must contain a job title to satisfy that the referee is in fact the employer/manager.

References should confirm whether any previous action has been taken against an employee i.e. disciplinary and whether any safeguarding concerns have been raised.

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

6.11. The Trust/school will treat any references, either given or received, as confidential in accordance with the exemption under the UK GDPR regulations

6.12. In addition, as part of the shortlisting process the trust may carry out an online search of shortlisted candidates as part of their due diligence. This may help identify any incidents or issues that have happened, and are publicly available online, which the school may want to explore with the applicant at interview. Shortlisted candidates will be advised that an online search will be undertaken for due diligence. Online checks are used to identify any court cases that prospective employees may have been the subject of or involved in these checks are not about social media. Any relevant information related to court cases may be raised with the individual.

Interviews must be conducted by a panel of at least two interviewers, one of which must have undertaken Safer Recruitment training. Interviews being held must be conducted by the same panel who undertook the shortlisting to ensure consistency of approach and provide a fair process.

6.13. In advance of the interview the panel should draw up a series of questions based on the skills, competencies and experience required for the role and individual questions based on their application form, including questioning any gaps in the application form and the reasons for leaving their most current post. These questions should be put to all candidates, responses should be recorded on a scoring grid used by all of the panel **(see appendix 6 for an example scoring grid)**. This allows the panel to consider applicants on the same basis and avoids any irrelevant or potentially discriminatory questions being asked. All candidates for all roles in school should be asked robust questions in relation to safeguarding the motives of individuals to work with children should be explored, the protection of children in the school must be paramount throughout the recruitment process. The panel should ask questions about candidates' resilience and capacity to perform the role. Any incomplete information in the application form must be raised with the candidate.

6.14. The Equality Act 2010 limits the circumstances in which the recruiting panel can ask applicants' health related questions before offering them a post. The panel can only ask such questions where the ability to carry out specific functions is essential and intrinsic to the job, or to determine the need for making reasonable adjustments in the selection process, for example, to mitigate the impact of any disability the candidate has. A job applicant can be asked **relevant** questions about disability and health in order to establish whether they have the physical and mental capacity for the specific role.

6.15. The recruitment process may include tasks such as interaction with pupils, teaching a lesson, analysis of data, the candidate should be advised of the interview process in advance of the interview date to allow candidates to fully prepare for the interview.

6.16. Shortlisted candidates must bring identity and right to work original documents and original certificates to the interview, along with any completed disclosure form - we ask for the disclosure form to be returned the day before the interview so that any declarations can be investigated prior to the interview taking place. These documents are confidential and should be treated in the strictest confidence

6.17. The pack of information relating to each candidate will be provided to the panel members. This will include:

- Completed Application Form
- References
- Disclosure Form
- Copy of Certificates
- Copy of Identification

6.18. Once the formal assessment process is completed all members of the recruiting panel will convene to reach a final decision. The panel must ensure that they have all the information required for each candidate to enable them to reach a decision. The selection should be made on the basis of which individual best fits the criteria set at the start of the recruitment process, utilising the scores and results of any assessments. Using a robust and consistent scoring procedure will ensure that this is carried out.

6.19. It is essential that only objective information is used in the decision making process and those decisions are justified, fair and evidence based. The panel should be able to demonstrate that they have acted proportionately.

6.20. Documentation used to determine the successful candidate must be retained in the school. The documentation relating to the successful candidate must be filed in their personnel file.

6.21. It is entirely acceptable to shortlist only one candidate or not to shortlist. Selecting the best candidate for the role is essential and managers should not feel compelled to appoint a less than satisfactory candidate regardless of the demands of the service. Appointing the wrong candidate can be extremely costly and can have an adverse effect on performance and delivery.

6.22. Applications and references must be scrutinised to identify any gaps in the application or inconsistencies that may need to be explored further with the candidate, before any appointment is confirmed. Notes of explanations from candidates must be recorded & retained on SAM recruit. If those explanations are satisfactory and ultimately the candidate is successful, those notes will be transferred to SAM People documents as part of the onboarding process. No appointment must be confirmed without satisfactory explanations for gaps being given and recorded. If a candidate does not provide satisfactory explanations and this results in their application being unsuccessful these notes should be retained on SAM Recruit. Documentation relating to recruitment for all candidates should be retained on SAM Recruit and will be automatically deleted after 6 months, this should include;

- Applications
- Shortlisting scoring sheets
- Interview questions and scores
- Results of any assessment tests undertaken
- Declaration forms
- Record of appointment decision

7. Offers of Employment and Appointing Candidates

7.1. **All** offers of employment **must** be made by the chair of the recruiting panel. A verbal offer is legally binding; therefore, all offers of appointment **must be made in writing and conditional, subject to satisfactory pre-employment checks**. The conditional offer will set out that any checks that are not satisfactory may mean that the conditional offer of employment will be withdrawn.

7.2. Contracts of Employment legally must be provided to employees on or before the first day of employment, you must undertake the necessary pre-employment checks in advance of issuing a contract of employment and advise the successful candidate after they have accepted the offer that pre-employment checks will be carried out before a contract of employment is issued.

7.3. All successful candidates will be required to have an enhanced disclosure DBS and barred List check to ensure that they are not barred from working with children. It is illegal to employ someone in a role where they are barred by law from working with children. The Academy must ensure that a candidate to be employed to carry out teaching work is not subject to a prohibition order issued by the Secretary of State, or any sanction or restriction imposed (that remains current) by the GTCE before it's abolition in March 2012. https:// www.gov.uk/government/collections/teacher-misconduct

7.4. In the circumstance where a DBS check contains any disclosures (convictions, cautions, reprimands and warnings) and the panel decide to appoint the candidate, the recruitment panel must record the reasons for not treating the conviction information as a reason not to appoint and retain a note of the reasons, including details of any advice sought and obtained, on the successful candidate's personnel file. It is recommended that advice be sought from HR regarding information contained on DBS certificates. See appendix 7 for a DBS risk assessment.

7.5. In the event that references are deemed unsatisfactory by the panel, the candidate must be advised of this. If the panel conclude that the references are unsatisfactory and the conditions in the offer letter have not been satisfied, the Academy can withdraw the offer of employment. Academies are advised to contact their HR Advisor. Where candidates request access to the references supplied to the Academy by the previous employer Academies must pay due attention to the General Data Protection Act 2018, schedule 2.

7.6. All shortlisted candidates should be informed of the outcome of their application and offered the opportunity for feedback.

7.7. The selection of a candidate will be determined by the interview panel on reaching a consensus about each candidate. All appointments should be based on merit. It is unlawful for any employer to make an appointment based on anything other than the ability of the candidate to undertake the duties of the post. An assessment of each candidate should be made whether written or in electronic format. In reaching a decision the panel should take into account information from all elements of the process, including:

- Application form
- Interview Page
- Occupational tests/presentations
- References
- DBS
- Declaration forms (where it is appropriate for the panel to consider that information)

7.8. Recruitment of an Academy Principal is undertaken by a panel which includes the CEO, DCEO, a minimum of 2 Directors from the Trust, and 2 Members from the Local Governing Board. The role the panel is to:

7.8.1. Select applicants for interview.

7.8.2. Interview the applicants.

7.8.3. Where appropriate, recommend one of the interviewed applicants to the Governing Board and Directors board for approval. In line with the Scheme of Delegation the Directors have final approval.

8. Mandatory Pre-employment Vetting Checks

8.1. These are the checks which are required by law before employment commences

a) **Identity:** importance of verifying the successful applicant's identity by reference to original documents. Candidates invited to interview should be asked to bring with them the necessary documents to verify their identity that will satisfy the requirements of the DBS in respect of the application for a disclosure. The successful candidate's birth certificate should be seen, wherever possible, in order to identify whether they have changed their name.

b) **Eligibility to work in the UK:** it is an offence to employ someone who is not eligible to work in the UK, proof of eligibility must be checked before the offer of employment is confirmed. More detailed information is available on the UK Border Agency website www.ukba.homeoffice.gov.uk

c) **DBS barred list:** under the Protection of Freedoms Act 2012 schools have a legal duty to check that any person being appointed to work in **regulated activity** is **NOT** barred from working with children or – where applicable – working with vulnerable adults. This check must be done before the person commences in post even if they start pending a DBS certificate. For schools and colleges, a stand-alone barred list check can be undertaken by logging onto the DFE Sign-in website. If there is a name-match, the person **MUST NOT** be allowed to commence in post until the paper certificate is received. A separate barred list check is not available to 16-19 academies, special post-16 institutions as such any individual **should not** be allowed to start work in regulated activity until they obtain an enhanced DBS plus a barred list check.

d) **DBS Enhanced Certificate:** the successful applicant should be asked to complete an application for an enhanced DBS certificate and produce the required supporting documentation straight away. When using the DBS update service employers still need to obtain and see the physical certificate. As most staff will be in regulated activity an enhanced DBS check will be required. Any decision to not appoint a person due to a conviction should be clearly documented. When assessing this information schools should take into consideration:

If it is a Teacher, consideration should be given to the Teachers' standards and Teacher misconduct guidance.

If due to content on the DBS certificate a copy is required, this must be treated with the strictest confidentiality and only retained for the purposes of assessment. The DBS code of practice sets out that sections 123 and 124 of the Police Act 1997 that although certificates are provided directly to applicants, recipients of disclosure information through electronic means or via the applicant's copy of the disclosure must note that it is an offence to disclose information contained within a DBS certificate to any person who

is not a member, officer or employee of the Registered Body or their client unless a relevant legal exception applies. Therefore, any copy of the DBS certificate must only be held on a file during a period of clarification and assessment, once this has been completed any copy of the certificate must be destroyed.

- the seriousness of any offence and the relevance of the post applied for
- how long ago the offence occurred
- whether it was a one-off incident or a history of incidents
- the circumstances around the incident, and
- whether the individual accepted responsibility for their actions

The DBS code of practice sets out that sections 123 and 124 of the Police Act 1997 that although certificates are provided directly to applicants, recipients of disclosure information through electronic means or via the applicant's copy of the disclosure must note that it is an offence to disclose information contained within a DBS certificate to any person who is not a member, officer or employee of the Registered Body or their client unless a relevant legal exception applies. Therefore, any copy of the DBS certificate must only be held on a file during a period of clarification and assessment, once this has been completed any copy of the certificate must be destroyed.

e) **Qualifications:** the successful applicant should be required to provide original certificates or diplomas for all the academic or vocational qualifications required for the post, plus any that are relevant to the post (at interview stage). The documents should be checked to ensure that they refer to the applicant and it is also important to verify them with the awarding body. The DFE's 'check a teacher's record' should be used to verify any award of qualified teacher status (QTS) and the completion of teacher induction or probation. If due to content on the DBS certificate, a copy is required, this must be treated with the strictest confidentiality and only retained for the purposes of assessment.

f) **Status:** it is a requirement for some posts that the applicant is licensed or registered with a professional body. For example, in order to be employed as a teacher in a maintained school, a person must usually have been awarded qualified teacher status and be registered with the relevant body.

g) **Prohibition:** All those appointed to undertake 'teaching work' must be checked against the prohibition list and interim prohibition list before commencing in post. Schools can check these lists via the Teachers Services website. 'Teaching work' includes qualified / unqualified teachers and HLTAs but not teaching assistants – see Keeping Children Safe in Education for more information. When recruiting teachers, it is important to also check for any past General Teaching Council for England (GTCE) sanction. Teaching Regulation Agency (education.gov.uk). Any person who is prohibited must not be appointed to a role that involves teaching work (as defined in the Teachers' Disciplinary (England) Regulations 2012).

h) **Prohibition from participation in management:** Section 128 direction – anyone appointed to a management position in an independent school, academy or free school as an employee, trustee or proprietor must be checked to ensure they have not been barred from management of an independent school by the Secretary of State. This check will usually be done as part of their enhanced DBS (state that the person is in 'management of an independent school' on the DBS application) or – if the person is not in regulated activity – via Teachers Services. This should be included as a column on the SCR in relevant schools. A section 128 direction will be disclosed when an enhanced DBS check with children's barred list information is requested. NB KCSiE makes clear that inclusion on s128 also prohibits an individual from serving as a governor of a maintained school – members of governing bodies must therefore be checked

against the s128 list.

i) Disqualification under the Childcare Act 2006 (2018 Childcare Disqualification):

The Regulations apply to anyone working in childcare:

a) with children aged 5 and under, including reception classes
b) in wrap-around care where there are children up to the age of 8.

In schools, this means nursery and reception classes and applies to lunchtime supervisors, but NOT office staff, cleaners, or people deployed to the under 5s only occasionally. It will apply to all Head teachers of primary schools and others who manage under 5s childcare. If the school has Ofsted-registered breakfast or after-school care, the Regs apply to this provision.

New recruits should be advised of the Regulations and asked to confirm that they are not disqualified from childcare. Schools are not required to keep information about disqualification from childcare checks on the SCR but may do so if they wish, bearing in mind that the law prevents employers from keeping records or details of someone's criminal history in a format that can be accessed by others who do not have a right to know this information.

The school must assess which staff are covered by the act and then take steps to ensure that staff are aware of their duty to report any relevant information to the school that would disqualify them from working in:

- Early years provision, or
- Later years childcare outside of school hours for children who have reached 5 years but not yet reached 8 years, which includes before and after school care.

Schools should not apply this to every employee they must assess which staff are covered by the Act. See Appendix 2 Disqualification from Childcare Regulations letter for staff.

8.2. All documents must be original and not photocopies. Until all these checks have been carried out ONLY a conditional offer of employment can be made. This must be stipulated in the correspondence. All original documentation must be copied and placed in files for consideration as part of the recruitment process.

8.3. **Overseas Checks** – All elements of the recruitment process should be applied to applicants from overseas in the same way as applicant's resident in the UK. In all cases where an applicant has worked or been resident overseas in recent years, the employer should, where possible, obtain a check of the applicant's criminal record from the relevant authority in that country. Not all countries provide that service, but the Gov.uk website now includes a list of those countries that do and details of how information can be obtained from other countries, at: www.gov.uk/dbs-checks-requests-guidance-for-employers#overseas-applicants

For applicants that have lived or worked outside of the UK, schools **must** make any further checks **they think appropriate** so that the relevant events that occurred outside the UK can be considered, these checks could include:

- Criminal records checks

- Obtaining a letter (via the applicant) from the regulating body in the country / countries in which the applicant has worked, confirming that they have not imposed any sanctions or restrictions and / or any reason that they would be unsuitable to teach:
- **Where available**, such evidence can be considered together with information obtained through other pre-appointment checks to help assess their suitability.

8.4. The DBS can only provide information that is held by police forces in the UK. That may include details of offences committed abroad by UK citizens or residents, but almost invariably will not include details of any offences committed abroad by foreign nationals who have never lived or worked in the UK.
See Appendix 1 Applicants from overseas advice. This is why it is important to undertake online checks in advance of any offers of employment.

8.5. **Fee-Funded Student Teachers** – The school should get written confirmation from the provider of any fee-funded student teacher that has carried out all pre-appointment checks that the school should otherwise perform. All successful candidates will be required to have an enhanced disclosure DBS and Barred List check to ensure that they are not barred from working with children. It is illegal to employ someone in a role where they are barred by law from working with children. The school must ensure that a candidate to be employed to carry out teaching work is not subject to a prohibition order issued by the Secretary of State, or any sanction or restriction imposed (that remains current) by the GTCE before its abolition in March 2012. www.gov.uk/government/collections/teacher-misconduct

8.6. Employers must request written information about previous employment history and check that information is not contradictory or incomplete. The purpose of seeking references is to obtain objective and factual information to support appointment decisions. As set out in section 7, references should be sought for all shortlisted candidates.

8.7. Following receipt of the reference the referee should be contacted to provide further clarification as appropriate: for example, if the answers are vague and to verify that they are the author of the reference References should also be compared with the information provided by the candidate on their application form, so that any discrepancies can be discussed with the candidate at the interview. No appointment must be confirmed without satisfactory explanations for discrepancies between references and other information.

8.8. The interview panel must record their observations and retain any additional information used to validate information. This must be retained on the successful candidate's personnel file. All offers of employment are conditional and must not be confirmed until the necessary checks are returned to be satisfactory.

9. Regulated Activity

9.1. For ALL posts which involve working in regulated activity, see appendix 9 for the definition of Regulated Activity, it is appropriate for the school to check that the person appointed doesn't pose a risk to the school (or other employees).

9.2. **Agency Staff –** It is a requirement that schools check that the person presenting at the school, is the same person that the agency has provided the vetting checks for. Therefore, two forms of identification

are required by agency staff, this should be passport/driving licence.

9.3. **Single Central Record -** All the checking details need to be included on the Single Central Record. The information should be requested at the appropriate times and logged/checked. The SCR should be checked on the first day of arrival of the new staff member. See guidance at Appendix 3.

9.4. **Staff Files** – It is recommended that all staff files contain appropriate documents and compliance checks are completed for each new starter.

In summary all checks will be:

- Documented and retained on the personnel file.
- Recorded on the school's Single Central Record.
- Followed up if they are unsatisfactory or if there are any discrepancies in the information received
- A Risk Assessment is made where there are issues raised via checking process
- An employee's documents should be a mirror of what is contained on the SCR.

10. Finalising the Appointment

10.1. There are times when candidates complain about the decision that has been made or some part of the recruitment and selection process. Where that complainant is an employee, they should contact the chair of the panel in the first instance to resolve the matter informally. If this doesn't resolve matters, the employee should raise any complaint under the Grievance Policy and Procedure. Candidates who are not school employees should raise any complaint under the Complaints Procedure.

10.2. The majority of candidates will have to give notice to their existing employer and, depending on the role, there will be some delay between the candidate being appointed and starting in post. It is important to maintain regular contact with your new appointee, providing them with any information that they need about the school and about their new role.

10.3. Employing people who have multiple contracts – employers need to be aware of the implications of the Working Time Directive. You should also advise any other responsible manager of the new contract and ensure that the employee does not work more than the lawful limits allowable. If you are unclear about this, you should contact your HR.

10.4. All new employees must be subject to a thorough induction process into the school. Induction must cover the school code of conduct and child protection and online safety.

11. Volunteers

11.1. Volunteers are seen by children as safe and trustworthy adults. The same robust process should apply when the school is recruiting volunteers to work with children. Because volunteers fill a very wide variety of roles the principle needs to be applied with common sense and the process may need to be adapted to cater for particular roles. The Crime and Policing Act 2026 made changes to regulated activity meaning that any person volunteering in a school or college in a role that involves teaching, training, supervising children frequently or more than 3 days in a 30-day period is in regulated activity, therefore schools should obtain an enhanced DBS with a Barred List check.

General Note: On the original document there was a question about students from secondary school on work experience/college placements?

11.2. Parents who volunteer on a one-off occasion such as a day trip, a fete or a sports day there is no need for a formal process or for a DBS certificate or a barred list check.

11.3. If a volunteer is going to have an on-going role that involves regular contact with children or means that the person will be on the premises when children are present regularly or frequently, a similar recruitment process should be adopted as would be used to recruit a paid member of staff filling a similar role. Although the process may be presented differently or adapted so that it is not as formal, the principles of safeguarding should still be the same.

11.4. If a volunteer will be providing 'teaching' and has previously been a qualified teacher, the school should check on the Teacher Services website that they are not prohibited from teaching. The Childcare Regulations (including disqualification from Childcare – see 9.1) apply to all volunteers providing early years or later years childcare.

11.5. Under no circumstances should a volunteer on whom no checks have been obtained be left unsupervised or allowed to work in regulated activity. Volunteers should be provided with

- Information about the organisation's commitment to safeguarding children
- Completion of an application or registration form
- Obtaining references
- A face-to-face interview
- Pre-employment checks similar to those which would be applied in the case of paid employment, including a DBS certificate and Barred list check.

11.6. Volunteers should be provided with a role profile and undertake a full induction into the school, this induction should cover safeguarding, code of conduct and relevant policies and procedures.

12. Visitors

12.1. There are many reasons why visitors may come into the school, including parents or members of the local community. All visitors to our site, regardless of their reason for visiting, will be escorted by a fully vetted member of staff. As per legislation, we are not entitled to request a DBS check and/or Children's Barred List for individuals who do not meet the criteria to do so, i.e. if they are not in regulated activity. In the event of a visitor attending our School to speak to children, i.e. in an assembly, we will also obtain such formal or informal background information about them as is reasonable and necessary in order to decide whether to permit them to attend the academy. In doing so, we will always have regard to statutory safeguarding guidance.

13. Adults who supervise children on work experience

13.1. If the school is organising work experience placements, it will ensure that the placement provider has policies and procedures in place to protect children from harm.

14. Single Central Record

14.1. The school will maintain a Single Central Record of recruitment and vetting checks, in accordance with statutory requirements and those stated by the Education (Independent School Standards) Regulations 2014. The Single Central Record will, as a minimum, contain details of the following:

- Identity, first name and surname, date of when the documents were seen
- Start date and role
- Qualifications, required Yes/No, date qualifications checked
- Prohibition check -record the date check is undertaken
- GTCE check – record the date of the check
- EEA check – record the date of the check
- S128 Prohibition from management – record the date of the check
- Barred List Check – record the date of the check
- DBS certificate – record the date of the DBS check
- Right to work in the UK – record the date of the check
- Overseas Check – Record whether check is required (Y/N) and date check completed

14.2. The school may choose to record more information, for example the DBS certificate number, this is not a statutory requirement and is for the school to decide. If there is any content on a DBS, this information must not be specified on the SCR.

14.3. We also record details of checks undertaken with respect to volunteers, members of the Local Governing Body and contractors, The Headteacher is responsible for ensuring compliance of their Single Central Record. The strategic lead for safeguarding and behaviour is responsible for monitoring the Headteacher's oversight of the Single Central Record, and for regularly reporting the outcome of such monitoring to Trust Leadership Team.

14.4. All contractors, agencies and 3rd party organisations providing services to the school must provide evidence in writing that they have carried out all of the relevant checks that we would have done if they were the school/'s own staff (such as DBS disclosure, identity check, Right To Work, etc.) This must be received prior to work commencing at the academy. The types of checks required will be specific to the role that the individual will have and take into consideration the nature and amount of contact they will have with children, in line with statutory requirements.

For locally procured contractors, agency and 3rd party staff, including fee-funded trainee teachers managed by an initial teacher training provider, it is the responsibility of the Headteacher and Governors to ensure that the necessary checks have been carried out, and to satisfy themselves that they are in place prior to the work beginning. Evidence of this will typically be in the form of the organisation's own safer recruitment policy, or a signed document that details the completed checks that have been undertaken. If an individual contracted to work at the academy is self-employed, we will complete all checks, including obtaining the DBS check, as self-employed people are not able to make an application.

15. Providing References for employees leaving

15.1. References will be provided following a request from a prospective employer.

Reference requests must **only** be completed by senior leaders in the school (Headteachers/Senior Leadership team), staff are not permitted to complete a reference request as they may not know the reasons why a colleague has left. Any reference requests received by staff must be shared with the Headteacher. References will be factual and answer the questions asked to the best of the school ability. Information relating to absence due to ill health will only be provided once an offer of employment has been made by the prospective employer.

Appendix 1 – Applicants from overseas

Applicants from overseas

All elements of the recruitment process and the pre-appointment checks should be applied to applicants from overseas in the same way as to applicants resident in the UK, but extra time will need to be allocated to obtaining references, checking applicants' qualifications and possible criminal records. In addition, as noted above, overseas applicants will need to establish that they have the right to live and work in this country.

The DBS can only provide information that is held by police forces in the UK. That may include details of offences committed abroad by UK citizens or residents, but almost invariably will not include details of any offences committed abroad by foreign nationals who have never lived or worked in the UK. The DBS barred lists (and their predecessors including List 99 and the PoCA List) are also primarily made up from referrals about people living or working in this country. Consequently DBS certificates and Barred List checks are unlikely to provide any information on applicants from overseas who have not previously lived in the UK. Nevertheless, those checks have to be carried out to meet statutory requirements. In all cases where an applicant has worked or been a resident overseas in recent years, the employer should where possible, obtain a check of the applicant's criminal record.

Not all countries provide that service, but the Gov.uk website now includes a list of those countries that do and details of how information can be obtained from other countries, at
www.gov.uk/dbs-check-requests-guidance-for-employers#overseas-applicants

The nature and detail of the information provided varies from country to country. The DBS does not have any involvement in applications by individuals to overseas authorities. Employers should also be aware that they would have to arrange for information returned from overseas authorities to be translated into English and they may need to obtain advice about the precise nature of criminal offences in other countries. Offences in other counties do not necessarily correspond to offences in the UK.

The DfE does not issue guidance on which circumstances require these overseas checks, stating that it is for schools to determine. However, with effect from **6th April 2017** the Home Office has confirmed that an overseas criminal check will be completed for everyone in an education role applying for a visa to work in the UK (i.e. from countries outside the EU). The requirement is mandatory to applicants from overseas applying under certain Standard Occupational Classification (SOC) codes, including teaching and school leadership. The requirement to provide an overseas criminal record certificate applies to anyone that has lived abroad for 12 months or more in the last 10 years.

Since April 2017 schools have had a statutory duty to inform Tier 2* skilled worker applicants of the need to source and submit overseas criminal certificates as part of their visa application.

You can find a FAQ document about obtaining overseas criminality information here: Obtaining Overseas Criminal Record Checks
Criminal records checks for overseas applicants - GOV.UK (www.gov.uk)

NOTE: In cases where an overseas criminal record check or certificate of good conduct is not possible, particular care must be taken with the other required checks, especially those of identity and

qualifications, and obtaining satisfactory references.

Schools must continue to carry out safer recruitment checks on all applicants.
For applicants that have lived or worked outside of the UK, schools must make any further checks they think appropriate so that relevant events that occurred outside the UK can be considered, including obtaining an enhanced DBS certificate with barred list information (even if the teacher has never been to the UK).

Teachers will be requested to provide proof of their past conduct as a teacher. This should be a letter of professional standing issued by the professional regulating authority in the country in which they worked. Such evidence can be considered alongside other information obtained through other pre-appointment checks to help assess their suitability.

**Tier 2 jobs – general, health/social/education*

Appendix 2 – Letters for staff who are covered by the childcare regulations

Dear Colleague,

The Department for Education issued guidance to schools (31st August 2018) on the Disqualification from Childcare Regulations and reminded school leaders that they must undertake an additional safeguarding check on current and future staff as appropriate to ensure that no one who is disqualified is employed in connection with:

- early years provision, or
- later years childcare outside of school hours for children who have reached 5 years but not yet reached 8 years, which includes before and after school care.

The disqualification criteria include:

1) caution or conviction for certain criminal offences
2) Certain grounds relating to the care of children (eg parental right order, supervision order or care order)
3) Having registration refused or cancelled in relation to childcare, children's homes or disqualification from private fostering (except where that cancellation or refusal was to do with unpaid fees)

This check is separate from the DBS check. Any of the above criteria disqualify staff from providing this childcare. Staff who either have a relevant offence or order is disqualified immediately and must apply to Ofsted to request a waiver if they wish to continue to work in these areas.

I have carefully considered the statutory guidance and have determined that your post at [insert name of setting] is involved in the provision of early years care during the school day and/or later years childcare [delete as appropriate].

For that reason, I have a legal obligation to make you aware that you have a duty to report any relevant information to me about yourself (even if that information has previously been considered in relation to a DBS check). Please be assured that any information disclosed will be treated in the strictest of confidence and in line with Data Protection requirements.

The full list of relevant offences, orders and determinations can be located in tables 2-5 of the Compliance, Investigation and Enforcement handbook, section 5.1 'Disqualification' which can be accessed via the link below. I appreciate that the lists are long and so, for ease of reference, I have arranged for a hard copy to be available in the school office / staff room.

http://hub.unlock.org.uk/wp-content/uploads/Ofsted-disqualifications.pdf

Broadly speaking, the 'certain criminal offences' include a caution or conviction for:

- any offences by an adult against or involving children
- Any sexual offence by an adult or a child against an adult or a child
- Murder, manslaughter, kidnapping, false imprisonment, assault occasioning grievous or actual bodily harm

For cautions, you are only required to disclose those issued on or after 6 April 2007. This does NOT apply to relevant convictions, which must be declared irrespective of date.

If you believe that you may meet one of the three disqualification criteria set out at the start of this letter, you are required to read the complete list in order to determine whether or not the specific information is disclosable.

You are required to make me personally aware of any relevant information, in writing, by no later than 7 days from receipt of this letter. If you think you have relevant information you will need to provide, as far as possible, any details relating to the order, determination, conviction or other grounds, the date it was made along with any other details including a copy of the relevant order or conviction. This information should be provided in a sealed envelope, clearly marked 'Strictly confidential - for the attention of (head teacher) only' and handed to [insert name].

Please note that this is an ongoing requirement and so, if you do not have any relevant information to disclose at this point, but do in the future, you must make me aware of any relevant information immediately.
You are required to sign the signature sheet available in the office to confirm that you have read and understood the content of this letter.

I understand that a disclosure may be difficult and stressful. If you have any questions or concerns, please do not hesitate to contact me at [insert contact details]

I would like to thank you for your cooperation and support in implementing this legally required process.

Regards,

Executive Principal/Principal

Appendix 3 - Single Central Record Guidance

Schools must keep a single central record, as referred to in the Keeping Children Safe in Education (statutory guidance document). The single central record must cover the following people:

- All staff who are employed directly by your school
- All supply/agency staff whether employed directly by the school or through an Agency.
- Any volunteer who works regularly with children and always include those who are engaged in "Regulated Activity".
- Governors
- People brought into the school to provide regular additional teaching or instruction but who are not staff members, such as Sports Coaches, Peripatetic Music Teachers, Artists etc.
- Regular contract staff such as contract cleaners or caterers
- The school should get written confirmation from the provider of any fee-funded student teacher that has carried out all pre-appointment checks that the school should otherwise perform

The prohibition from teaching check must be completed for everyone engaged in 'teaching work', whether a qualified teacher or not; and recorded on the single central record. The information that must be recorded is whether checks have been carried out or certificates obtained, and the date on which each check was completed/certificate obtained. Personal files must correlate with the Single Central Record and contain documentary evidence which has been gathered from recruitment process in order to satisfy the requirements for a safe appointment.

Section 128 checks

Individuals who are subject to a direction made under Section 128 of the Education and Skills Act 2008 or Section 167A of the Education Act 2002 are prohibited from taking part in the management (including governors if the governing body is the proprietor body for the school) of independent educational institutions in England and/or Wales respectively. A person prohibited under Section 128 is also disqualified from holding or continuing to hold office as a governor of a maintained school.

Academies must carry out section 128 checks on:

- Academy trust members and trustees
- Governors who sit on committees
- Academy staff in management positions – Headteacher, SLT

Appendix 4 - Appointment Checklist

1. **DOCUMENTS**

<table>
<tr><td>Original Application Form attached

please tick □</td><td rowspan="2">Medical Form

Clearance no:

Date advised by OHU:

Or Date sent to OHU in a sealed envelope

Any other information from OHU</td><td rowspan="2"></td></tr>
<tr><td>Bank details attached please tick □

Birth Certificate seen □</td></tr>
<tr><td>Reference 1 attached □

Reference 2 attached □</td><td>Copy of QTS Certificate attached if applicable/available □</td><td rowspan="2"></td></tr>
<tr><td>Disqualification under Childcare ACT

Is the employee covered by the Act YES / NO

If yes, make the employee aware of their obligations (Appendix 2)</td><td>Copy of academic qualifications attached if applicable □</td></tr>
</table>

Self-Declaration Form Form received at shortlisting Y/N Has the employee made any disclosures Y/N *Note on the risk assessment	Date post advertised: Date post appointed: Interview notes and assessments enclosed □

2. CONTRACT DETAILS

Employee Name:		
Employee Address:		
Position (Post)Title		**Job Code (if applicable):**
Start Date (in this position):	**Local Government/Continuous Service Start Date (if earlier than this position):**	**End Date (if applicable)**

3. SALARY DETAILS

(Main) Pay Scale	**Upper Pay Scale**	**Leadership Scale**	**Unqualified Teacher Scale**
TLR Level, amount and responsibility	**SEN level and amount**	**Other Allowances (please state)**	

4. TYPE OF CONTRACT

Permanent Y/N	**Working hours:** Term Time Only: Y/N If no, how many working weeks?	**Initial Working Pattern (if applicable) i.e., hours worked each day** Monday Tuesday Wednesday Thursday Friday
Fixed Term Contract Y/N	Reason for Fixed Term Contract:	
Event Linked Y/N	Event linked: Name of substantive post holder on maternity leave/long term sickness or pending permanent recruitment. Please state	

5. ISSUES RAISED FROM COMPARING APPLICATION FORM, REFERENCES AND CHECKS, ONLINE SEARCH/DISCLOSURE OF CONVICTIONS OR CAUTIONS (RISK ASSESSMENT)

ISSUE	DETAIL	ACTION/INVESTIGATIONS UNDERTAKEN & ADVICE SOUGHT	OUTCOME/JUSTIFICATION TO APPOINT & PERSON AUTHORISING APPOINTMENT
There are gaps in the employment dates and chronology			
There are gaps in education dates			
The reference is ambiguous and not instantly recognisable as being from an employer			
Reference not available from previous employment			
Concerns/discrepancies highlighted on reference (s)			
Online search – concerns highlighted at interview			
The health questionnaire has been returned with actions required			
Self - Disclosure of convictions/cautions/barred compared to DBS & other checks			

Input on to Single Central Record by (name): Signed:	Dated:

Appendix 5 – Shortlisting candidates' guidance

Short-listing - when?

At the beginning of the recruitment process you should plan the recruitment timescales and you should ensure that you adhere to these to avoid having to reschedule interviews causing inconvenience to candidates, interview panel members and additional administration. If unforeseen circumstances arise and the interview dates have to be changed you should notify the candidates as soon as you are aware of the change.

The persons short-listing the candidates for interview should be undertaken by the same panel of people who will be involved in the interviews for consistency throughout the process. The panel should always contain at least one member who has undertaken Safer Recruitment training and a member who has operational knowledge of the vacant post. The panel should be made up of at least two people, ideally three people.

Short-listing – the process

To complete the short-listing process, you will need:

- all the applications
- the job description
- person specification for the post
- the short-listing form (Appendix 6)

The purpose of the process is to identify which of the applicants will be invited to interview for the post. It is important to give full consideration to each application and consider them with a consistent approach.

It is essential that the short-listing is carried out based on the criteria laid down within the documents listed above regardless of age, disability, gender, pregnancy or maternity, race, religion, belief or sexual orientation.

The person specification should be used to identify which attributes are to be measured from the application and these should be written onto the short-listing form. For example – if you have identified in the person specification that there is a requirement for relevant experience in the supervision of staff and that this will be identified from the application. This should be listed on the short-listing template under "relevant experience".

If you have received a large volume of applications and consider that you may have difficulty in establishing a manageable size short-list of those who meet the *essentia*l criteria, the panel may want to add further weighting to those also meeting some or all of the *desirable* criteria. If you wish to use this further weighting, the recruitment panel should agree to this at the beginning of the process, *not during the short listing* whilst looking at and scoring the applications.

Completing the short-listing form

The names of the applicants should be written onto the form and then a comparison of the information provided on the application form should be made against the person specification. If you have a high volume of applications, you may find it helpful, firstly to exclude any who have not met the essential criteria for the post.

For each of the criteria, an assessment is made of the evidence provided and a score given as follows:

Score 5 - Clearly meets essential and some or all desirable criteria
Score 3 – Clearly meets essential criteria

- Score 1 - Unclear/potential evidence that candidate meets essential criteria
- Score 0 - No evidence that candidate meets essential criteria

If the school participates in the "Positive about Disabled People" scheme, commonly known as the "Two Ticks" scheme. Candidates who have indicated that they are seeking an interview under the disability "two ticks" symbol scheme ad meet the essential criteria should always be short listed for interview.

When scoring candidates, it is useful to consider the skills required for the key roles of the job and how easily and quickly those skills can be gained. If, for example, a skill is required that is critical to the role and could take some months to gain, then this may be considered more highly than a skill that is used less frequently or can be learned in a short period of time. If you choose to use any further differentiation or weighting during the short-listing process, you should detail how this was done in the candidate notes included in the shortlist form.

You should record the reason for your scores on the short-listing form so there is clear information about why you have scored as you did. This can also be helpful when providing feedback to candidates.
Those scoring the highest are the candidates that you should short-list.

In addition, if this situation arises you could consider drawing up a long-list and inviting these candidates for a first interview or test, to then identify your short-list.

What is evidence?

The candidate should provide evidence of their skills, qualifications, knowledge and experience on their application.

Some consideration can be given to the presentation of the application, only if this is relevant to the post. For example, if written communication is one of the criteria for the post, and the language and presentation of the application if poor, that can be considered as evidence when scoring the application. It is important to consider that some candidates may have difficulties with literacy due to disability or because English is not their first language, however, this does not mean that they are not capable of doing the job.

If key information is missing from the application, then it is reasonable and appropriate to determine that the candidate does not have any evidence to provide of the skills, knowledge, experience, or qualifications in question.

Interview Preparation

If you have noted during the short-listing process any additional information or clarification you require from any of the candidates, this should be recorded to enable it to be asked as a supplementary interview question.

Short-listed candidates - Inviting to Interview**.**

You will then create and send the invite to interview correspondence to invite your short-listed candidates to interview, giving the candidates at least a week's notice to attend the interview.

At this stage apply for references for all short-listed candidates. This should be incorporated into your timescales.

Appendix 6 – Risk Assessment (DBS)

Risk Assessment Checklist

Starting work prior to DBS Certificate being sent or information is on the DBS

This risk assessment should be completed when considering whether to allow a new member of staff to start work before the DBS certificate has been seen by the school.

This risk assessment should also be used if the DBS is returned with information on it. This form can also be used for the absence of information such as references and criminal overseas check.

Name of Person	
Role	
Interview Date	
Proposed Start Date	
DBS Check Application Date*	

*The person must not start without the application being made

Is the person in 'Regulated Activity'?	Yes ☐ No ☐
Reason for starting without seeing new DBS check	
☐ Continuity of the school's provision to pupils	
☐ Other (please state)	
Known Information	
Have all the following checks been satisfactorily completed?	
☐ Identity check (photographic) [Essential]	
☐ Verification of current address [Essential]	
☐ Barred list check (if legally appropriate) [Essential]	
☐ Teacher Status/Prohibition Check (for teachers and those engaged in 'teaching work') [Essential]	

☐ Section 128 check (where relevant)
☐ Overseas Checks (Where relevant)
☐ Right to work in the UK [Essential]
☐ Confirmation of qualifications [Essential]
☐ Two references [Essential]
Any other information (please state)
Previous DBS Certificate If the person has a previous DBS, on what date was it issued?
When was the persons last day at work in their previous school or college?

If the persons start date and their last day at their previous school or college are less than 3 months apart, then a new Enhanced DBS check is not required in law, although most schools will instigate a new one. Therefore, given that there is enough other information, the person could be assessed as low risk.

SECTION 2

Does the DBS have information on it? YES NO	If YES, ensure that the content is discussed with the individual and consider the relevance of the offence/caution. The timescale of the offence / caution and whether this was disclosed previously Verify information with other agencies LADO/Police Take advice from HR
Is the person to continue to be offered the role?	YES NO (withdrawal of offer of employment)

Decision

☐	**High Risk** – Person **should not** be allowed to start with a new Enhanced DBS, as there has a break in service of more than 3 months (or they do not have an enhanced DBS certificate) and/or there is insufficient information about the person in the 'Known Information' list above.
☐	**Medium Risk** – Person may start work and although there is sufficient other information listed above, because there is a gap in service of 3 months or more (or they do not have an Enhanced DBS certificate) the person must be supervised* at all times and **should not** undertake 1:1 work, personal care activities or residential visits. (*The unchecked person must always be 'within sight or hearing' of a person with an Enhanced DBS check).

☐	**Low Risk** – Person may start work, without additional supervision, as they already hold an Enhanced DBS check and there is no break in service of 3 months and all other checks have been satisfactorily completed.

Authorisation

Head Teacher (Print name) _____

Head Teacher (Signature) _____

Date _____

Chair of Governors (Print Name) _____

Chair of Governors (Signature) _____

Date _____

Appendix 7 – Regulated Activity

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 and The Crime and Policing Act 2026.

Regulated activity includes:

a) paid and unpaid work that involves teaching, training, instructing, caring for or supervising children, or providing advice or guidance on physical, emotional or educational well-being, or driving a vehicle only for children;

b) any other type of paid work for a limited range of establishments (known as 'specified places', which include schools and colleges), with the opportunity for contact with children.

Work under (a) or (b) is regulated activity only if done frequently, on more than 3 days in a 30-day period or overnight.[83] Some activities are always regulated activities, regardless of frequency. 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 or disability;
- health care means care for children provided by, or under the direction or supervision of, a regulated health care professional.

Regulated activity will not be:

- paid work in specified places which is occasional and temporary and does not involve any of the activities in (a) above.

Appendix 8 – Self Declaration Form

Self-Declaration Form

Congratulations on being shortlisted. Please return this disclosure to the school **at least one day prior to the interview**. If we have not received this, we reserve the right to withdraw the offer of interview.

POST APPLIED FOR:		Date:	
Surname:		Previous name(s) (if any):	
Forename(s):	Preferred title:	Date of birth	
National Insurance No:	Teacher Ref. No (if applicable):	Date of recognition as qualified teacher, QTS (if applicable):	

We are committed to safeguarding and promoting the welfare of children and we expect all staff to share this commitment. This post is exempt from the Rehabilitation of Offenders Act 1974; preemployment checks will be carried out, references will be sought, and successful candidates will be subject to an enhanced DBS check and other relevant checks with statutory bodies.

We comply with the Disclosure & Barring Service (DBS) code of practice and have a written policy on the recruitment of ex-offenders, both of which are available on request. 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. As a result of amendments to the Rehabilitation of Offenders Act 1974 (exceptions order 1975) in 2013 and 2020, some minor offences are now protected (filtered) and should not be disclosed to potential employers, and employers cannot take these offences into account.

Please read the information Ministry of Justice - GOV.UK (www.gov.uk) before answering the following questions. If you are unsure whether you need to disclose criminal information, you should seek legal advice or you may wish to contact Nacro or Unlock for impartial advice. There is more information on filtering and protected offences on the Ministry of Justice website.

Nacro - https://www.nacro.org.uk/criminal-record-support-service/ or email helpline@nacro.org.uk or phone 0300 123 1999

Unlock – http://hub.unlock.org.uk/contact/ phone 01634 247350 text 07824 113848

1. Do you have any convictions or adult cautions that are unspent? Yes / No
If yes, please provide details here
2. Do you have any other cautions or convictions that would not be filtered? Yes / No
If yes, please provide details here

Do you have any cautions or convictions for offences committed in another country which would be relevant to your suitability for this post in line with the law in England / Wales? Yes / No
If yes, please provide details here
Are you known to the police or children's social care for any other reason that could affect your suitability for s post? Yes / No
If yes, please provide details here
*Only ask if you are recruiting for a post working in regulated activity with children are you included on the DBS children's barred list? Yes / No
If yes, please provide details here
*Only ask if you are recruiting for a post working in regulated activity with adults over the age of 18 years Are you included on the DBS adult barred list? Yes / No
If yes, please provide details here
(TEACHERS ONLY) Are you, or have you ever been, prohibited from teaching by the TRA or NCTL or sanctioned by the GTCE? Yes / No / Not applicable
If yes, please provide details here
Have you been prohibited from management of an independent school (s128)? Yes / No / Not applicable
If yes, please provide details here
Have you lived or worked outside the UK for more than 3 months in the last 5 years? Yes / No *
If yes, please provide details here
10. Are you subject to any sanctions relating to work with children in any country outside the UK? Yes / No
If yes, please provide details here

Please complete the declaration below:

I declare that all the information I have provided in this disclosure is full and correct at the time of application and that I have not omitted anything that could be relevant to the appointment of someone who will work with children. I understand that the recruitment panel may be made aware of any relevant information that I have disclosed in order to discuss the matter(s) with me as part of the recruitment process and that, if my application is successful, a risk assessment of the disclosed information will be held securely on my personnel file. I understand that the declaration of a criminal record will not necessarily prevent me from being offered this role.

Signed: Date:

Please return this form to: [insert name]

Appendix 9 – Safer Recruitment Pre-Employment Checks

Type of Check	Requirement / Details	Applicability
Identity Check	Verification of name, and date of birth using photographic ID • Passport or • Driving Licence (if this is not possible, contact the Central People team for further guidance) Always request a Birth Certificate to assess any changes in name from birth - this is best practice Any change of name document, e.g. Marriage certificate, Deed Poll, Decree Absolute Copies must indicate that the original document has been seen, by who and when.	All individuals
Evidence of address	Address (one of) Driving licence unless used as ID Utility bill or financial statement (within 3 months of issue date) Council tax statement (current tax year)	All individuals

Right to work	Verification of documentation confirming the individual's legal right to work in the UK One of: UK Passport (can be expired) Share Code Full Birth Certificate accompanied by an official letter evidencing National Insurance Number Must be stamped as 'original seen statutory' with excuse statement. Statutory Excuse Document completed and attached with scans - https://assets.publishing.service.gov.uk/media/68b6b7e7536d629f9c82a9a1/RTW+Checklist__final_.pdf	All employed staff
Enhanced DBS	Certificate number and date of issue must be recorded. The physical certificate must be seen by the academy. On day 1 of employment, if the DBS is still being processed and a your are completing a risk assessment to allow the person to commence work, you must complete a Children's barred list check as below.	All staff, governors, and regular volunteers
Children's barred list check	Required for anyone engaged in regulated activity. This is usually obtained as part of an Enhanced DBS check.	Those in regulated activity
Teacher Prohibition Check	Check via the Teaching Regulation Agency (TRA) to ensure the individual is not prohibited from teaching. This is for any teacher, or former teacher	All teachers Any individual who has previously been a teacher
Section 128 check	Check to ensure the individual is not prohibited from participating in the management of an academy.	Business Managers, SLT, Heads of Department, Governors, and Trustees CEO / DCEO / Central finance team / Director of Governance
Professional	Verification of essential qualifications required for the role. Original	Teachers, specialised support

Qualifications	certificates must be seen and a copy held on file For teachers this must include: Evidence of QTS Degree	staff
Overseas Check	Additional criminal records checks or letters of professional standing for individuals who have lived or worked outside the UK for 12 months or greater in the last 10 years	As applicable based on employment/residence history
Medical Questionnaire	Medical questionnaire to be completed. Further assessment and a risk assessment to be completed if any medical conditions declared. This can include a referral for pre-appointment screening	All individuals
References	Minimum of two written must be requested and verified. One must be current/ most recent employer. If the applicant has not worked previously a suitable character/academic reference is required.	All individuals Applicants who have previously worked in schools (despite this not being one of their last two employers) will be advised that the Trust/Academy will contact the last employment where they worked with children for a reference.
Online Search	Candidate name Candidate name and current school/employment Candidate name and previous school/employment Candidate name and educational institution Candidate name and job title	All individuals (Post 09/2021 employment start date)

Volunteer risk assessment	All volunteers must hold an assessment of risk (excluding LGB and Directors as this is covered in a letter of assurance) - Appendix 12 in the Safer Recruitment policy	All volunteers (excluding LGB and Directors as this is covered in a letter of assurance)

Appendix 10 – Disclosure Flow Chart

