

# Recruitment and Selection Policy and Procedure

## Version 9

<p><b>Important:</b> This document can only be considered valid when viewed on the Trust website. If this document has been printed or saved to another location, you must check that the version number on your copy matches that of the document online.</p> <p><b>Title of Author:</b></p>	CEO
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<b>Related Documents:</b>	Disclosure and Barring Policy Equality Policy Redeployment Procedure Keeping Children Safe in Education ( <a href="http://www.gov.uk">www.gov.uk</a> ) Childcare (Disqualification) Regulations 2018 Equality Act 2010 Probationary Policy and Procedure Redundancy/Restructuring Policy
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## POLICY STATEMENT

The success of the Brighter Futures Learning Partnership Trust (the 'Trust') relies on recruiting and selecting the right people with appropriate skills, knowledge, qualifications, experience, abilities and competencies to meet current and future requirements. The Trust endeavours to recruit and select the right people in a fair, consistent, timely and cost-effective manner in line with current legislation and statutory requirements. Safeguarding sits at the heart of the Trust's recruitment and selection processes, ensuring our young learners' safety is central to our recruitment and selection processes, decisions and outcomes.

The final decision for all recruitment and appointments within the Trust sits with the CEO.

### 1. PURPOSE AND SCOPE

The Trust is committed to equality and fair treatment in recruitment and selection and all appointments will be based on merit. The Trust will ensure that recruiting managers follow this procedure, safeguarding those children for whom it has a duty of care. The purpose of the Recruitment and Selection Policy and Procedure is to provide a fair, consistent and transparent framework that adheres to employment legislation and statutory requirements, enabling managers to:

- attract the best possible applicants to vacancies
- ensure that the safeguarding and welfare of children and young people sits at the heart of recruitment and selection and is robust throughout the process
- follow a fair and consistent process in recruiting and selecting employees
- adhere to all relevant legislation and statutory requirements
- ensure the most cost-effective use is made of resources
- give applicants a clear understanding of the post and what is expected of them, measuring candidates against the criteria in a fair, transparent and reasonable way
- minimise the risk of making an unsuitable appointment

The Trust recognises the legal obligations it has as an employer under the Equality Act 2010, the Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000, Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002, the Data Protection Act 2018 & GDPR, and the Human Rights Act 1998. The Trust also understands its statutory obligations and the CEO with support from HR will ensure policies, procedures, processes, training and associated documentation is reviewed in line with changing legal and statutory requirements. Shortlisting, assessments and selection processes will always be carried out without regard to the nine protected characteristics:

- age,
- disability,
- gender reassignment,
- marital or civil partnership status,
- maternity or pregnancy,
- race,
- religion or belief or
- sexual orientation.
- any criminal history

The Trust supports applications from candidates with a disability and will make reasonable adjustments where possible, at all stages of the recruitment process. The Trust will review and develop recruitment procedures in accordance with legislation, and all staff involved in the recruitment and selection process will be made aware of the Equality Act 2010. As all recruitment will be based on merit, discussions about reasonable adjustments will be separate from consideration of the applicant's suitability for the post applied for.

The Trust also recognises its legal obligations in safeguarding vulnerable groups and this procedure adheres to the requirements of the Police Act 1997, the Rehabilitation of Offenders Act 1974, the Protection of Children Act 1999, the Education Act 2002 and statutory guidance (e.g. Keeping Children Safe in Education and Disqualification under the Childcare Act 2018).

Where a manager wishes to use an agency worker they must refer to the preferred supplier list of approved agencies (which the HR Department/Business Managers have assessed against legal and statutory requirements to ensure agencies the Trust works with recruit, appoint, employ and deploy safely, appropriately and in line with legal and statutory guidelines). Managers must not approach agencies directly, but must contact either the Cover Officer/Headteacher/Principal/Business Manager/HR Manager, who will explore the manager's requirements and the options available to them prior to contacting an appropriate agency. Managers must be aware that under the Agency Workers Regulations 2010 and the Temporary Agency Work Directive 2008, agency workers have the right to equal treatment in relation to collective facilities and amenities and the same information about relevant vacancies as comparable workers from day one of their assignment. Following a 12-week qualifying period, agency workers are entitled to equal treatment in relation to basic working and employment conditions (including pay, working time and holiday). This means they are entitled to equal treatment (e.g. pay and conditions) to that of employees. This right doesn't include occupational sick pay, pension, family leave pay or redundancy pay.

This policy applies to all job applicants and employees of the Trust.

## 2. ROLES AND RESPONSIBILITIES

The **Trust Board** is responsible for ensuring this policy is applied fairly and consistently across the Trust. Members and Trustees are also responsible for the recruitment and selection of the CEO.

The **CEO** is responsible for ensuring candidates and employees are treated fairly and consistently across the Trust. The CEO approves all recruitment requests via the "Approval to Recruit to a Job Vacancy". The appointment of any member of staff must be in line with the Trust's Scheme of Delegation.

The **Local Governing Bodies and Headteachers/Principal** are responsible for monitoring the application of this policy within their respective schools, ensuring the Trust's policy, procedure and recruitment and selection processes are adhered to. They are also responsible for ensuring managers, leaders and supervisors have access to appropriate training and development to enable them to apply this policy fairly, consistently and professionally, in line with legal and statutory requirements.

## Ongoing vigilance

Local Governing bodies should ensure they have processes in place for continuous vigilance, maintaining an environment that deters and prevents abuse and challenges inappropriate behaviour.

The **HR Department/Business Managers** are responsible for overseeing the introduction, implementation, monitoring and review of this policy and will report to the **CEO, CFO** the Trust Board and Local Governing Bodies as required. The **HR Department/Business Managers** will provide advice, guidance and support in the implementation of this policy and procedure, acting as a point of contact for managers.

The HR Department will ensure that this policy is implemented fairly and consistently, whilst also ensuring that relevant employment legislation and statutory guidance is adhered to.

**Managers** and staff must ensure they carry out recruitment and selection fairly and consistently in line with this policy and procedure, accessing support, guidance and training as and when required. Managers must also provide appropriate, constructive feedback to internal candidates at shortlisting and appointment stages. Detailed, meaningful feedback should be offered to all unsuccessful candidates following an assessment process.

## 3. EQUALITY AND DIVERSITY

The Trust is committed to:

- Promoting equality and diversity in its policies, procedures and guidelines, adhering to the Equality Act 2010.
- Delivering high quality teaching and services that meet the diverse needs of its student population and its workforce, ensuring that no individual or group is disadvantaged.

The Trust is committed to providing equality of opportunity for all and ensuring that all stages of recruitment and selection are fair. Job descriptions, person specifications, advertisements and other recruitment and selection documentation must only contain objective, justifiable, non-discriminatory information. Managers should take care not to include:

- Explicit references to age or age ranges
- Language that could be perceived as age bias (such as young, mature, energetic)
- Specifications for a particular gender, race, religion or age unless it is defined as a Genuine Occupational Qualification
- Language that could be perceived as discriminatory (e.g. 'must be fit', 'able bodied', 'generally healthy', or 'able to drive')
- Qualifications that could be age bias (e.g. GCSEs) without adding 'or equivalent'

The Equality Act 2010 allows for specifications to include a requirement for a particular gender, race, sexual orientation, religion or age as long as it is defined as a Genuine Occupational Qualification. Managers must seek advice from the CEO/CFO if they believe that a vacancy they have approval to recruit to has a genuine occupational qualification.

## 4. PRINCIPLES

The Trust adheres to the following principles in recruitment and selection:

- All applicants will receive fair and reasonable treatment.
- The job description/person specification is an essential tool, which is used throughout the process and applied equally to all applicants.
- Recruitment decisions will be based on the assessment of how candidates match the criteria detailed in the job description/person specification (e.g. knowledge, skills, qualifications, experience, abilities and competencies).
- 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.
- Selection should be carried out by a panel of at least two people, preferably three people where possible. At least one panel member must have received recruitment and selection and safer recruitment training.
- Selection should be based on a minimum of a completed application form, shortlisting and interview.
- CEO recruitment and selection will be carried out by Members and Trustees.
- All posts will normally be advertised, unless there are specific circumstances (e.g. situations requiring ring-fencing or slotting, such as people at risk and seeking suitable alternative employment via the Trust's Redeployment Procedure).
- The Equality Act 2010 requires the Trust to make reasonable adjustments to the recruitment process if an applicant makes us aware that they have a disability. This applies to the entire recruitment process, from advertisement to appointment and the Trust is committed to meeting this requirement.

### Safer recruitment and selection procedure

Safer recruitment is one of the strands of safeguarding and promoting the welfare of children, the school is committed to a process that promotes the welfare of children.

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

Person specifications will state that evidence of working within a child protection culture and promotion of a safeguarding culture as essential.

Advertisements for positions will include a clear statement regarding the Trust and the School's commitment to safeguarding and the need for an enhanced DBS check, such as:

**'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'.**

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

## 5. DOCUMENTATION

The recruitment process will be documented at each stage, resulting in a clear audit trail and transparency of decisions. All documentation relating to the recruitment process should be retained for 6 months from the date of the appointment decision by the HR Department. Documentation relating to the successful candidate will be transferred to their personal file. By keeping appropriate records, the Trust can demonstrate in the event of an enquiry or complaint that appropriate procedures have been followed. Information on candidates must be treated in the strictest confidence and restricted to those directly involved in the recruitment process.

The HR Department/Business Managers will use appropriate ICT to manage the recruitment process and therefore vacancy and applicant data will be stored electronically and all recruitment documentation will adhere to the requirements of the Data Protection Act 2018 and the General Data Protection Regulations 2016.

## 6. RECRUITMENT AUTHORISATION

All recruitment requests must be approved by the CEO/CFO/Headteacher/Principal prior to a vacancy being advertised. Before any decision is made to advertise a vacancy the CEO/CFO must be convinced that a vacancy exists that requires filling (via the recruitment authorisation process). The recruiting manager must consider fully the need to recruit and detail their requirements when completing the Recruitment Request Form.

The recruiting manager must consider:

- Whether the post needs to be filled and how best to fill it
- Any required changes to the role and responsibilities
- Any changes to the qualifications, knowledge, skills, experience and competencies required for the role alongside the potential re-evaluation requirements
- Any foreseen/expected future changes to the job or department
- Organisation changes elsewhere in the Trust alongside potential redeployees
- The need to minimising redundancy situations in line with the Trust Redundancy Policy, Organisational Change Policy and Redeployment Procedure

The recruiting manager should seek advice and support from the CEO/CFO/Headteacher/Principal prior to completing the Recruitment Request Form and throughout the ensuing recruitment and selection process. The recruiting manager must also ensure their Headteacher/Principal signs to approve the recruitment request form prior to submission to the CEO/CFO.

## 7. JOB DESCRIPTION/PERSON SPECIFICATION

The recruiting manager is responsible for describing the role and responsibilities clearly, concisely and accurately within the job description/person specification. The Trust must ensure that for all roles the job description has been evaluated and that the post is positioned at the correct pay point. The responsibility for this rests with the CEO/CFO who will liaise with the external HR provider. This will



ensure consistency of approach across the Trust. The final decision around pay and grade will not be implemented without consultation with the Headteacher/Principal.

The recruiting manager is responsible for ensuring the job description/person specification includes all the essential and desirable qualifications, knowledge, skills, experience and competencies required for the role, ensuring that the stipulated criteria are measurable and non-discriminatory (Save for Genuine Occupational Requirement). The manager must also propose the hours, employment status (e.g. full-time, part-time, term-time, permanent, and fixed-term) and working pattern.

When completing or checking the job description/person specification, the recruiting manager should consider how each aspect will be measured. It is vital that care is taken when writing/reviewing the job description/person specification as this is used as a baseline for the recruitment and selection process (i.e. applicants suitability for the post is measured against this throughout the process). Care must also be taken to avoid the inclusion of unnecessary, marginal or blanket requirements as this could lead to allegations of discrimination (e.g. ability to drive may be viewed as discriminating against disabled applicants unless justifiable).

Competencies should align to the Trust purpose, values and ethos. They should also link to safeguarding, detailing and measuring behaviours and attributes individuals must have or must acquire to perform effectively and safely at work. The CEO/CFO with support from HR can provide advice and support in reviewing, applying or developing competencies

Essential criteria enable the recruitment panel to sift out candidates that will not be able to perform satisfactorily in the role. The recruiting panel must not shortlist a candidate that does not meet the essential criteria for the post. Desirable criteria help the recruiting managers differentiate between satisfactory and outstanding candidates.

The job description/person specification must be finalised before the vacancy is advertised as prospective candidates often use the advert, job description and person specification as a means of selecting or de-selecting themselves.

## 8. ADVERTISING

If the recruitment request is approved, the CEO/CFO/Headteacher/Principal or Lead Manager will draft an advert that includes:

- an introduction to Trust and the specific school the role sits within, the ethos, values and benefits of working within the Trust and the school
- the role's purpose and key responsibilities
- basic details about the post e.g. job title, salary/pay point, hours, contractual status
- the essential criteria (as stipulated on the job description/person specification) and any special working arrangements or requirements
- any additional payments, allowances or benefits as appropriate (e.g. any recruitment and retention premia or relocation assistance on offer)
- where possible, the intended date for assessment/interview (if applicable)
- a named contact for informal enquiries where possible
- details of how to apply

- the closing date for applications
- a safeguarding statement

All vacancies will be advertised on the Trust and school websites, and at a physical location within each school that is easy for staff to access, providing staff with every opportunity to apply for internal vacancies. Vacancies will also be shared with staff who are absent on a long-term basis (e.g. health, maternity, shared parental or adoption leave). External advertising may not always be required and should be carefully considered. An applicant pool can help reduce recruitment costs and time scales and the CEO/CFO/Headteacher/Principal may target candidates within an applicant pool where possible and appropriate. Selection from an applicant pool must follow the normal shortlisting process. The CEO/CFO/Principal/Headteacher/Principal will review recruitment requests against the redeployment register and the School Centred/Doncaster Teacher Training student list. Where there are vacancies which are potentially suitable for Teacher Training students, the vacancy will be ring-fenced for those students in the first instance. The vacancy will be advertised for those students and they will be required to apply using the normal application process. It is anticipated that Teacher Training students within the Trust will be shortlisted for teaching vacancies and assessment programmes will include an interview, student panel and lesson observation.

Internal candidates wishing to apply for a post advertised within the Trust will normally be offered a preferential interview, prior to external candidates, maximising opportunities for employees who wish to widen their experience and work at other schools in the Trust. However, they must demonstrate they have the relevant skills and experience to fill a post.

The CEO/CFO/HR/Business Managers will provide recruiting managers with advice and costs in relation to the most appropriate media for external advertising to ensure that adverts are within budget whilst ensuring that they reach the target audience. The CEO/CFO/Headteacher/Principal will also check that the advert is free from discrimination in terms of its content, design and language.

## **9. REDEPLOYMENT**

The Trust is committed to retaining its workforce wherever possible. There may be occasions where staff meet the criteria for redeployment. Redeployees must apply for suitable alternative positions and will need to meet the essential criteria for the role in order to be shortlisted. The recruiting manager will be advised of any redeployees applying for their vacancies and may be required to interview a redeployee prior to other candidates. Managers should refer to the Redeployment Procedure and seek advice from the CEO/CFO when considering a redeployee for a vacancy. If there are some differences between the two roles, the employee should be offered a four week trial period.

## **10. SECONDMENTS AND EXPRESSIONS OF INTEREST**

Secondments must be authorised by the CEO before such opportunities are advertised and recruited to. Adverts for secondment opportunities must explicitly state that the role is a secondment opportunity and the intended duration of the secondment. Applicants must seek approval from their line manager prior to applying for a secondment opportunity as there may be occasions where the manager is unable to support the release of one of their team members for a secondment (e.g. if their substantive role is a difficult to recruit to role).

The Trust may, in exceptional circumstances, utilise an internal expression of interest recruitment process. This may be justifiable for a temporary appointment, for example, where the role is of a specialist nature or where a developmental opportunity is available internally and can be ring-fenced for a particular group of staff. Organisational changes may also result in ring-fenced opportunities for affected staff. Managers must read the Redundancy and Restructuring Policy, and seek advice from the CEO/CFO.

Expressions of interest allow for a quick turnaround and remove the external element of recruitment. However, this is the only difference to the normal recruitment process as once application forms are received the normal recruitment and selection processes follow (e.g. shortlisting, interviews, assessments etc.).

## 11. APPLICATION AND SHORTLISTING

Once a vacancy has been advertised, applicants will be able to access the relevant information and application form online. The application pack will include as a minimum:

- Application form - 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 school application form.

The Trust is committed to safeguarding and promoting the welfare of children and applicants will undergo child protection screening appropriate to the post, including checks with previous employers.

### **Rehabilitation of Offenders Act 1974**

All posts involving direct contact with children are exempt from the Rehabilitation of Offenders Act 1974. However, amendments to the Exceptions Order 1975 (2013 & 2020) provide that certain spent convictions are 'protected'.

These 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.

Shortlisted candidates will be asked to provide details of all unspent convictions and those that would not be filtered, prior to the date of the interview. You may be asked for further information about your criminal history during the recruitment process. If your application is successful, this self-disclosure information will be checked against information from the Disclosure & Barring Service before your appointment is confirmed.

Shortlisted candidates will be emailed a self-disclosure form together with a flow chart detailing what is 'protected' under the Act and should not be disclosed. **This MUST be returned before interview.**

- Welcome letter
- Equal opportunities monitoring form
- Job description/person specification

- Summary of basic conditions of service (e.g. salary, annual leave, allowances, benefits, term-time only)
- Additional information specific to the post (e.g. organisational structure, departmental information)
- Details of the DBS processes where appropriate

All applicants must complete an application form (a **curriculum vitae (CV) will not be accepted**); however, disabled applicants may submit their application in an alternative format, in liaison and agreement with the CEO/CFO/Headteacher/Principal. Recruiting managers can shortlist online and shortlisted candidates can be notified online. Applications submitted online will require signing by the applicant if they are invited to an assessment process.

All applications must be treated in the strictest confidence and restricted to those directly involved in the recruitment process.

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 Trust must draw applicants' attention to the guidance on filtering on the Ministry of Justice Website: <https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974>

Disclosures must not be taken into consideration at 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 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. To enable candidates to assess whether they need to disclose convictions or cautions the convictions and cautions flow chart at appendix 13 should be sent to the candidates to assist them in determining whether to make a disclosure. Attention must be drawn to guidance on the government website regarding what offences will not be filtered, these are known as specified offences. List of offences that will never be filtered from a DBS certificate - GOV.UK (www.gov.uk)

Disclosed information (self-disclosure) can be considered against the Rehabilitation of Offenders Act (ROA 1974) and amendment order in 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 the Central Trust HR Manager if they require clarification on discussions regarding self-disclosures. Leaders must not appoint without clarifying with Central Trust.

The CEO/CFO/Headteacher/Principal will ensure that the shortlisting process and outcomes align to the legal and statutory requirements. This will include the schools/UTC carrying out on-line searches as part of their due diligence checks on shortlisted candidates. This may help identify any incidents or issues that have happened, and are publicly available online, which the school might want to explore with the applicant at interview.

Shortlisting must be conducted initially against the shortlisting essential criteria detailed in the job description/person specification, ensuring that the information on the application form is used to assess each applicant. 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. This must be fairly and consistently applied to all applicants. If there are too many applicants shortlisted against the essential criteria, the panel may then use the desirable criteria. If there remain too many applicants to interview, the panel should seek further advice and guidance from the CEO/CFO/Headteacher/Principal.

The panel must not shortlist any applicant that does not meet the essential criteria of the post, as detailed in the person specification/job description. The CEO/CFO will provide additional advice to recruiting managers regarding candidates that flag disability considerations, criminal records or disciplinary alerts.

It is entirely acceptable to shortlist only one candidate or not to appoint at all. 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 department/school. Appointing the wrong candidate can be extremely costly and can have an adverse effect on performance and delivery.

Once shortlisting is completed, the Business Managers or HR Department of each school will notify shortlisted applicants of the next steps, ensuring shortlisted candidates are aware of the need for them to bring appropriate identity evidence with them to their assessment day. The Business Managers/HR Department will therefore require details of the assessment process and be able to assist recruiting managers in designing an appropriate assessment process. The Business Managers/HR Department will discuss with disabled applicants any special requirements they may have for the interview and arrange appropriate support, advising the recruiting manager as appropriate.

The Trust either:

- Contact candidates to thank them for their interest which tells candidates that if they have not been shortlisted, or
- Include a deadline date on the advert which tells candidates that if they have not been contacted by this date, they have not been shortlisted.

## 12. ASSESSMENTS

The Business Managers/HR Department will advise managers on the suitability and options regarding the assessment process, ensuring that it does not breach legislation, good practice or safer recruitment guidelines. As a minimum, the assessment process will include shortlisting and an interview and candidates invited to interview will be advised of the assessment process. Alongside an interview, additional assessment tools may include:

- Student or stakeholder panel
- Lesson delivery/observations
- Seen/unseen presentations
- Keyboard/Typing tests
- In-tray exercises

- Knowledge or technical tests
- Group work
- Ability tests (e.g. numeracy/literacy)
- Data analysis

This list should be used as a guide as it is not an exhaustive list.

The Business Managers/HR Department will advise on the best approach when measuring candidates against the set criteria, ensuring that the assessment tools are appropriate, justifiable and in line with legislation, best practice and statutory guidelines. The Business Managers/HR Department will ensure that appropriately qualified, trained, experienced and knowledgeable staff will assess candidates. Students or stakeholders involved in the recruitment process will have access to training, advice and guidance and they will have clear parameters for their involvement. They will provide feedback to the recruiting panel.

The recruiting panel must prepare questions and assessments with the Business Managers/ HR Department, advising the Business Managers/HR Department of the preferred schedule for the assessments. Templates for competency-based interview questions, presentation briefs, scoring sheets and assessment templates will be available from the CEO/CFO, alongside advice and guidance. The Business Managers/HR Department will normally support the recruitment process through booking rooms, refreshments, facilities and student/stakeholder panels as required. This will be in conjunction with the Headteacher's PAs/Principal's PA/Admin Support Team for complex assessment days. They can also conduct a variety of assessments to enable a thorough assessment of candidates against the criteria detailed in the job description/person specification. The Business Manager/HR Department will send the recruitment pack to panel members, which will include:

- Job description/person specification
- Application forms
- Interview questions
- Other assessment documentation as appropriate
- Scoring sheets
- A terms and conditions sheet which details the basic employment details
- Schedule for the assessment process
- Advice regarding safeguarding, legal and statutory requirements

On the interview day, the Business Manager/HR Department will check the candidate's identity (including the candidate's eligibility to work in the UK), qualifications and membership of a professional body (where appropriate). The Business Manager/HR Department will notify the panel of any issues arising from these checks.

The interview panel must consist of at least two people, preferably three. At least one of them should have been involved in the shortlisting process and one of the panel members should be the person whom the post reports to. At least one of the interviewers must have completed safer recruitment training within the last three years. The Business Manager/HR Department will ensure that where

required, reasonable adjustments are made for disabled candidates. If the recruiting panel has any concerns regarding a disabled candidate's ability to perform the role for which they have applied, they should seek advice from the HR Department.

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.

Candidates must not be asked questions related to their protected characteristics or trade union activities, as they have no bearing on a person's suitability for the job and could be unfairly discriminatory.

All questions must relate to the job as detailed in the job description and person specification, measuring the candidate's suitability against the criteria in a fair, transparent and consistent way. Each candidate will also be questioned about any gaps on the application form and their resilience and capacity to perform the role. The panel should remind each candidate that if they are selected as a preferred candidate, a DBS clearance will be necessary. They must also be advised that any offer is '**Conditional**' subject to the Trust receiving satisfactory clearances, including references, identity check, qualification checks and a pre-employment medical clearance. The interviewers must make notes throughout the interview. Time should be allocated at the end of each interview for scoring to take place. Each interviewer must score each question and their comments on the form should ensure that each score is justifiable and that constructive feedback can be given. The panel should complete the scoring sheet and return all documentation to the Business Manager/HR Department upon completion of the assessment process as it will be retained on the job file for 6 months.

### **13. DECISION TO APPOINT AND CLEARANCES**

Once all assessments have been completed, each individual panel member will total their scores and usually the candidate with the highest scores in rank order will be the preferred candidate. The Chair of the panel must discuss their preferred candidate choice with the Headteacher/Principal in line with the Scheme of Delegation prior to offering a position. Only when the CEO has agreed with their preferred choice (in line with the Scheme of Delegation) can an offer (subject to satisfactory clearances) be made. Ultimately, the decision to appoint will be made by the CEO, having due regard to the views, opinions and preferences of the panel members. The Chair of the panel should discuss the offer with the preferred candidate, explaining that it is subject to satisfactory clearances.

The recruiting panel must also contact the unsuccessful candidates and provide them with access to constructive feedback that is honest and balanced, giving them examples of where they could improve in the future. The conditional offer will be confirmed, subject to satisfactory clearances, and the Business Manager/HR Department will notify the recruiting manager of the progress of satisfactory clearances. Recruiting managers must not arrange for a new starter to commence until they have received confirmation from the Business Manager/HR Department that all clearances have been received and all are satisfactory.

The Business Manager/HR Department will not contact unsuccessful candidates unless the recruiting manager specifically requests this.

**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 the necessary checks** and clearances:**

- References (One should be their current or most recent Headteacher/Principal, and one their previous employer, or in the case of newly qualified teachers, their training institution and one of their placements. In some circumstances it may be necessary to obtain 3 references, if a candidate has been employed for a private sector in-between public sector roles. In this instance, you **must** still refer back to any previous employer which involved the candidate working with children).
- Disclosure and Barring Service (DBS) Clearance -
- Pre-Employment Medical Clearance
- Eligibility to Work in the UK
- Qualifications and Membership of Professional Bodies
- ID Check
- Childcare Disqualification Declaration (if relevant to setting).
- Prohibition Clearance

References should be sought on all short-listed candidates, including internal ones 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. If a candidate for a teaching post is not currently employed as a teacher, the school (new employer) will confirm with the school or college at which they were most recently employed details of their employment and their reasons for leaving. For the purposes of safeguarding the school will apply this to applications for all staff roles. Therefore, 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). For teaching posts this would normally be the Headteacher/Principal.

References will not form part of the assessment scoring, but any concerns raised within a reference should be discussed with the HR Department, the Headteacher/Principal and the CEO. Open references will not be accepted, therefore the reference template should be used.

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.

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 school can withdraw the offer of employment. Schools are advised to contact their Business Manager/HR Department. Where candidates request access to the references supplied to the school by the previous employer schools must pay due attention to the General Data Protection Act 2018, schedule 2.



The Business Manager/HR Department will contact the preferred candidate to arrange for them to complete the online DBS application form (unless the preferred candidate has used the update service), providing the candidate with advice and guidance in line with DBS guidance and the Trust's DBS Policy.

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 Manager regarding information contained on DBS certificates. See appendix DBS risk assessment.

Information disclosed under the Rehabilitation of Offenders Act 1974, and the amendments to the Exceptions Order 1975 (2013) provide that certain spent convictions and cautions are 'protected'. Disclosures must not be taken into consideration at shortlisting stage. Any disclosure made must be provided to the interview panel in a sealed envelope so that they may ask the candidate questions at interview. Anybody who makes disclosures must also be subject to a DBS Enhanced and Barred list check. See appendix for a Criminal Convictions self-disclosure form.

Any information about past disciplinary action or allegations that are disclosed should be considered carefully when assessing the applicant's suitability for the post (including information obtained from the Teacher Services' checks).

The preferred candidate will complete their medical questionnaire and once assessed. If there are any health issues, these should be shared immediately with the CEO/CFO/Headteacher/Principal.

It is a criminal offence to employ someone who is subject to immigration control and who does not have current and valid permission to be in the UK. The identity check, normally undertaken on the assessment day, will include a check of the candidates' eligibility to work in the UK.

Qualifications and membership of professional bodies (where appropriate) will normally be checked on the assessment day. The Business Manager/HR Department will notify the panel of the outcome of these checks.

### Pre-employment Checks

These are 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. This should be copied and placed in the personnel file.
- b. **Eligibility to work in the UK:** it is an offence to employ someone who is not eligible to work in the UK so proof of eligibility must be checked before the offer of employment is confirmed. Guidance about this is in appendix eight of Safeguarding Children and Safer

Recruitment in Education. More detailed information is available on the UK Border Agency website [www.ukba.homeoffice.gov.uk](http://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. A stand-alone barred list check can be undertaken by logging onto the DFE Sign-in website and then Teachers Services; it's a free service. If there is a name-match, the person **MUST NOT** be allowed to commence in post until the paper certificate is received.

**DBS certificate:** the successful applicant should be asked to complete an application for an enhanced DBS certificate and produce the required supporting documentation straight away. Everybody employed to work in a school is required by law to undertake an enhanced disclosure. Since 2016, all newly appointed governors (of maintained / VC schools) must undertake an enhanced DBS certificate. Existing governors without enhanced DBS were required to undertake a new check by September 2016. Governors are not in regulated activity and should not be checked against the barred list. The school must see the original paper certificate and not rely on a digital copy or confirmation from the registered / umbrella body.

- d. **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. 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. (Copies of all relevant certificates/qualifications will be retained in the personnel file).
- e. **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 general teaching council.
- f. **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.
- g. **Prohibition from participation in management** – anyone appointed to a management position in an independent school, academy or free school as an employee, trustee or proprietor must now 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.

NB KCSiE makes clear that inclusion on s128 also prohibits an individual from serving as a governor in our Trust– members of governing bodies must therefore be checked against the s128 list.

**h. Disqualification under the Childcare Act 2006** – the DfE has updated guidance for schools (31/08/18) which recruiters should ensure they have read and understood.

Schools are prohibited from employing a disqualified person in connection with the relevant childcare provision. New recruits should be advised of the Regs 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.

Schools should not apply this to every employee they must assess which staff are covered by the Act. See Appendix Disqualification from Childcare Regulations letter for staff. The criteria for disqualification relevant to a school setting include the following:

- Inclusion on the DBS Children’s Barred List
- Being found to have committed certain violent and sexual criminal offences against children and adults, which are referred to in regulation 4 and Schedules 2 and 3 of the 2018 Regulations
- Certain orders made in relation to the care of children, which are referred to in regulation 4 and listed at Schedule 1 of the 2018 Regulations
- Refusal or cancellation of registration relating to childcare, or children’s homes, or being prohibited from private fostering, as specified in Schedule 1 of the 2018 Regulations
- Being found to have committed an offence overseas, which would constitute an offence regarding disqualification under the 2018 Regulations if it had been done in any part of the UK

Staff covered by this legislation include the following:

- Early year’s provision – staff providing care for a child up to and including reception age (including education in nursery and reception classes and/or any supervised activity such as breakfast clubs, lunchtime supervision and after school care)
- Later years provision – staff employed to work in childcare provided by the school outside school hours for children above reception age, but younger than 8 (this doesn’t include education or supervised activity above reception age during school hours, but it does include before school settings (e.g. breakfast clubs) and after school provision)
- Staff employed by childcare providers (not employed by the school) who hire or rent school facilities or premises (the Trust will ensure the provider has appropriate policies and procedures in place regarding safeguarding children and the 2018 Regulations)
- The Trust will ensure agencies and other providers undertake appropriate checks for staff deployed to work at the Trust, including the requirement for staff to inform their employer they would be committing an offence if they are deployed to work in relevant childcare, or are directly concerned in the management of such provision, if they are disqualified under the 2018 Regulations

- The Trust will ensure that self-employed contractors working in relevant childcare provision comply with the requirements of the legislation.  
(The school will consider obtaining the DBS check, as self-employed people are not able to make an application directly to the DBS on their own account).
- The Trust must ensure that initial teacher training providers adhere to the legislation
- Staff directly concerned with the management of early or later year's provision are covered by the legislation
- Volunteers and casual workers directly concerned with the management of childcare provision or who work in relevant childcare on a regular basis (supervised or unsupervised) are covered by this legislation

Staff not covered by this legislation include the following:

- Caretakers, cleaners, drivers, transport escorts, catering and office staff who are not employed to directly provide childcare, However the Trust has opted to ensure **ALL** staff working within a relevant setting are subjected to the same clearance process.
- Most staff who are only occasionally deployed, and are not regularly required to work in relevant childcare are not automatically covered, therefore Headteachers/Principal will work with the CEO, CFO to assess the risk and thus exercise their judgement
- School governors are not covered by this legislation unless they volunteer to work in relevant childcare on a regular basis, or they are directly concerned with the day-to-day management of such provision

The Trust requires preferred candidates and staff to complete a self-declaration form to capture information relation to the 2019 Regulations. Questions are relevant and limited to the requirements of the legislation (e.g. cautions or convictions for a relevant offence; where a care order is issued with respect to a child who has been in the person's care; or whether they are named on the DBS Children's Barred List). The Business Managers/ HR Department retains a record of all staff employed to work in or manage relevant childcare, including the date on which the disqualification checks were completed, ensuring OFSTED and independent inspectorates can readily access this information.

All documents provided 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 photocopied and placed in files for consideration as part of the recruitment process.

**Overseas Checks** – All elements of the recruitment process should be applied to applicants from overseas in the same way as applicants 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 DirectGov 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](http://www.gov.uk/dbs-checks-requests-guidance-for-employers#overseas-applicants)

For applicants that have lived or worked outside of the UK, the school **must** make any further checks it thinks 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

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 5 Applicants from overseas advice

**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.

#### 14. CONFIRMATION OF AN OFFER OF EMPLOYMENT

When all satisfactory clearances have been received, the Business Managers/HR Department will notify the recruiting manager and the successful candidate to advise that clearance has been received and to discuss a start date and time. The Business Manager/HR Department will send the preferred candidate a contract of employment prior to commencement in post and no later than the first day of work, and an email will be sent to all relevant departments to ensure appropriate arrangements are in place prior to the start date (e.g. IT and induction). The Business Manager/HR Department will close the job file and initiate an electronic personal file, scanning the successful candidate's recruitment, selection and clearance information onto the file, which will be retained in the secure HR electronic system.

For some staff, there may be a long period of time between the offer confirmation and start date (e.g., teachers have strict notice periods). It is vital that the organisation successfully onboards new starters (e.g. through electronic access to online documentation, welcome information and induction materials). The Business Managers/HR Department will send new starters information electronically in readiness for their successful commencement with the organisation. Information includes the following: Induction details

- Dress code information
- Dates for the diary (the academic school calendar)
- School site
- Trust information regarding the various schools, the vision and ethos
- Trust Induction Policy
- Job description to be signed and returned
- Pay and benefit details
- Information about the area for new starters relocating (alongside information regarding relocation expenses or recruitment and retention premia where it is being accessed)
- Links to policies and procedures (code of conduct, child protection and on-line safety) and other relevant Trust and school information

- Links to statutory and mandatory training that new starters may wish to access prior to their commencement with the Trust

Managers are also encouraged to maintain contact with successful candidates, ensuring they feel welcome and a part of the team, the school and the Trust, even before they start. Regular communication can dispel any worries new starters may have and it provides the manager and their new member of staff with opportunities for role clarity prior to formal commencement. It also allows the manager time before the new starter commences to begin to discuss key objectives and initial training and development needs and plans.

On the successful candidate's first day, their manager should welcome them and ensure they are fully supported in their first few days and weeks. Managers must complete the Trust's induction with their new starter and probationary meetings will be held with **all** new staff, ensuring any challenges and learning and development needs are addressed in a supportive, swift and effective way (managers of associate staff must read this policy in conjunction with the Trust's Induction Policy). New starters will also receive an invitation to the Trust induction, providing them with an opportunity to meet other new starters from across the Trust and the CEO.

### Volunteers

Volunteers are seen by children as safe and trustworthy adults. The same kind of 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.

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.

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 principals of safeguarding should still be the same.

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) apply to all volunteers providing early years or later years childcare.

Barred list checks cannot be undertaken for volunteers except in very specific circumstances (such as unsupervised volunteering, overnight activity or volunteers engaging in intimate care). In those cases the process should still include:

- 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.

Keeping Children safe in education says:

*The school or college should undertake a risk assessment and use their professional judgement and experience when deciding whether to obtain an enhanced DBS certificate or any volunteer not engaging in regulated activity. In doing so they should consider:*

- *The nature of the work with children;*
- *What the establishment knows about the volunteer, including formal or informal information offered by staff, parents and other volunteers*
- *Whether the volunteer has other employment or undertakes voluntary activities where referees can advise on suitability.*
- *Whether the role is eligible for an enhanced DBS check*
- *Details of the risk assessment should be recorded*

See Appendix 12 for a Volunteer Risk Assessment.

Volunteers should be provided with a role profile and undertake a full induction into the school, this induction should cover safeguarding and what is regulated activity.

## **15. MONITORING COMPLIANCE WITH AND EFFECTIVENESS OF THE POLICY**

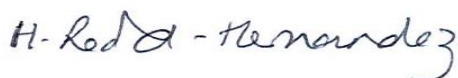
Effectiveness and compliance of this Policy will be monitored on an annual basis.

## **16. REVIEW**

This Policy and Procedure will be reviewed within two years of the date of implementation with staff and relevant unions.

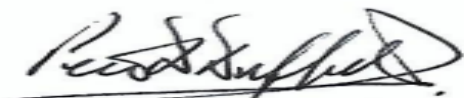
Policy agreed: October 2023

Signed CEO of BFLPT – Helen-Redford-Hernandez:



Date: October 2023

Signed – Chair of BFLPT – Peter Duffield:



Date: October 2023

Policy to be reviewed: October 2024

Created: September 2019 (Version 1)  
Revised: July 2020 (Version 2)  
May 2021 (Version 3)  
October 2021 (Version 4)  
September 2022 (Version 5)  
December 2022 (Version 6)  
March 2023 (Version 7)  
July 2023 (Version 8)  
October 2023 (Version 9)





**Appendix 1**

**BRIGHTER FUTURES LEARNING PARTNERSHIP TRUST  
APPROVAL TO RECRUIT TO A JOB VACANCY**

**School:**

**New role and Job Description:** YES/NO

**Job Title:**

**Change to existing contract:** YES/NO

**(if 'Yes' please give brief description):**

**Date of discussion with CEO:**

**Signature: .....** **Headteacher/Principal**

**Approved by CEO: YES/NO** **Date:**

**Signature: .....** **Helen Redford-Hernandez**  
**Chief Education Officer**

**Appendix 2**

<b>Interview/Application Matrix</b>			
<b>Candidate:</b>		<b>Interviewer:</b>	
<b>Post title:</b>		<b>Date:</b>	
<b>Interview Questions</b>	<b>Points to cover – relevance of competency/skills</b>	<b>Comments/Evidence</b>	<b>Score</b>
1.			<b>0</b>
			<b>1</b>
			<b>2</b>
			<b>3</b>
2.			<b>0</b>
			<b>1</b>
			<b>2</b>
			<b>3</b>

RATING SCALE

<b>0</b>	<b>Main issues not covered. No examples of irrelevant examples.</b>
<b>1</b>	<b>Some points covered, not all relevant. Some examples given.</b>
<b>2</b>	<b>Good answer, relevant information given. Good examples given.</b>
<b>3</b>	<b>Excellent answer, all points covered. Excellent examples give.</b>

**Other Considerations**

- **Communication skills (ability to express self clearly)**

**SUCCESSFUL AT INTERVIEW**

**YES**

**NO**

**General feedback comments:** (feedback is often requested and the interview noted provide an invaluable aid to giving accurate constructive feedback. To assist this process please include any comments that might be used in a constructive sense to state why the candidate was either successful or unsuccessful and identify any potential weakness, identifying these as development areas).

**Interviewers should note that this material may be accessible to the candidate and any comments made should be objective.**

**APPENDIX 3 - SHORT LISTING FORM**

**SCORING AGAINST PERSON SPECIFICATION**

**Scoring System:**

- 0 – No evidence to meet the criteria
- 1 – Evidence does not fully meet the criteria
- 3 – Evidence meets the criteria
- 5 – Evidence exceeds the criteria

**Highest possible score = 25**

<b>CRITERIA</b>	<b>CANDIDATE NUMBER 1</b>	<b>CANDIDATE NUMBER 2</b>	<b>CANDIDATE NUMBER 3</b>	<b>CANDIDATE NUMBER 4</b>	<b>CANDIDATE NUMBER 5</b>
<b>Qualifications and Training</b>					
<b>SCORE</b>					

<b>Relevant Experience</b>					
<b>SCORE</b>					
<b>Knowledge and Skills</b>					
<b>SCORE</b>					
<b>Any experience of working in a school environment?</b>					
<b>SCORE</b>					

Any Safeguarding knowledge?					
SCORE					
TOTAL SCORE OUT OF 25					

Has the candidate been short listed? Yes/No  
 If yes apply for references at this stage

## APPENDIX - 4

### Short-Listing 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 *essential* 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

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 is 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 timescale



## APPENDIX - 5

### 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 DirectGov 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](http://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 countries 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 an FAQ document about obtaining overseas criminality information here: Obtaining Overseas Criminal Record Checks  
[Criminal records checks for overseas applicants - GOV.UK \(www.gov.uk\)](http://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 - 6 LETTER FOR STAFF WHO ARE COVERED BY THE CHILDCARE REGULATIONS**

Dear Colleague,

The Department for Education issued guidance to schools (31<sup>st</sup> 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,

Head teacher

## APPENDIX - 7

### 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, including teacher trainees on salaried routes, agency and third-party supply staff, even if they work for one day
- 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 **minimum** information that must be recorded in respect of staff members (including teacher trainees on salaried routes) is set out below. For agency and third party supply staff, the school must include whether written confirmation has been received that the employment business supplying the member of supply staff has carried out the relevant checks and obtained the appropriate certificates, the date this confirmation was received and whether details of any enhanced DBS certificate have been provided in respect of the member of staff.

Where the agency or organisation has obtained an enhanced DBS certificate before the person is due to begin work at the school, which has disclosed any matter or information, or any information was provided to the employment business, the school or college **must** obtain a copy of the certificate from the agency. and Central Trust **must** be informed prior to any work being carried out at the school.

The single central record **must** indicate whether the following checks have been carried out or certificates obtained, and the date on which each check was completed, or certificate obtained:

- an identity check
- a standalone children’s barred list check
- an enhanced DBS check (with children’s barred list check) requested/certificate provided.
- a prohibition from teaching check
- further checks on people who have lived or worked outside the UK
- a check of professional qualifications, where required, and,
- a check to establish the person’s right to work in the United Kingdom.

Non statutory information

- Schools will record any other information they deem relevant.

The details of an individual should be removed from the single central record once they no longer work at the school.

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, Heads of Department and any Associate staff in a management position

**APPENDIX - 8 -APPOINTMENT CHECKLIST – At-a-glance checklist to insert in front of employee personal file**

**1. DOCUMENTS:**

<p><b>Original Application Form attached</b> please tick <input type="checkbox"/></p>	<p><b>Medical Form</b> Clearance no: Date advised by OHU: <b>Or</b> Date sent to OHU in a sealed envelope Any other information from OHU</p>	<p><b>Completed Enhanced DBS Form Issue date:</b> Disclosure no: <b>Overseas Police Check</b> attached if applicable Date of check: <b>Section 128 check</b> (for management positions) Date of check: <b>Teacher Status Check:</b> (for everyone engaged in 'teaching work', whether a qualified teacher or not e.g. HLTA) Yes/No Date of check: <b>Barred list check</b> (previously list 99) Yes/No Date of check: <b>N.B.</b> If the employee does not hold a valid DBS clearance a barred check must be undertaken <u>before</u> the start date (standalone check)</p>
<p>Bank details attached please tick <input type="checkbox"/></p> <p>Birth Certificate seen <input type="checkbox"/></p>	<p>Copy of <b>QTS Certificate</b> attached if applicable/available <input type="checkbox"/></p>	<p><b>Evidence of eligibility to work in the UK and proof of NI Number</b> (please attach) <b>ID</b> - Passport (front cover, personal details page and visa (if applicable) Or other eligible document attached Yes/No Proof of NI document attached i.e., P60, P45, payslip Yes/No</p>
<p><b>Reference 1</b> attached <input type="checkbox"/></p> <p><b>Reference 2</b> attached <input type="checkbox"/></p>	<p>Copy of <b>academic qualifications</b> attached if applicable <input type="checkbox"/></p>	<p>Date post advertised: Date post appointed:  Interview notes and assessments enclosed <input type="checkbox"/></p>
<p><b>Disqualification under Childcare ACT</b> Is the employee covered by the Act YES / NO If yes, make the employee aware of their obligations</p>		

**2. CONTRACT DETAILS:**

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

**3. SALARY DETAILS:**

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

**4. TYPE OF CONTRACT:**

<b>Permanent Y/N</b>	<b>Working hours:</b>  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 & CHECKS, ONLINE SEARCH/DISCLOSURE OF CONVICTIONS OR CAUTIONS (RISK ASSESSMENT)**

\* If detailed use a separate sheet

<b>ISSUE</b>	<b>DETAIL</b>	<b>ACTION/INVESTIGATIONS UNDERTAKEN &amp; ADVICE SOUGHT</b>	<b>OUTCOME/JUSTIFICATION TO APPOINT &amp; PERSON AUTHORISING APPOINTMENT</b>
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			
Disclosure of convictions/cautions compared to DBS			

<b>Input on to Single Central Record by (name):</b> Signed:	Dated:
--	--------

**APPENDIX - 9**

**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.

<b>Name of Person</b>	
<b>Role</b>	
<b>Interview Date</b>	
<b>Proposed Start Date</b>	
<b>DBS Check Application Date*</b>	

\*The person must not start without the application being made

Is the person in 'Regulated Activity'?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Reason for starting without seeing new DBS check</b>	
<input type="checkbox"/> Continuity of the school's provision to pupils	
<input type="checkbox"/> Other (please state)	
<b>Known Information</b>	
Have <u>all</u> the following checks been satisfactorily completed?	
<input type="checkbox"/> Identity check (photographic) [Essential]	
<input type="checkbox"/> Verification of current address [Essential]	
<input type="checkbox"/> Barred list check (if legally appropriate) [Essential]	
<input type="checkbox"/> Teacher Status/Prohibition Check (for teachers and those engaged in 'teaching work') [Essential]	
<input type="checkbox"/> Section 128 check (where relevant)	
<input type="checkbox"/> Overseas Checks (Where relevant)	
<input type="checkbox"/> Right to work in the UK [Essential]	

<input type="checkbox"/> Confirmation of qualifications [Essential]
<input type="checkbox"/> Two references [Essential]
Any other information (please state)
<b>Previous DBS Certificate</b>
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

<input type="checkbox"/>	<b>High Risk</b> – Person <b>should not</b> 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.
<input type="checkbox"/>	<b>Medium Risk</b> – 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 <b>should not</b> 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).
<input type="checkbox"/>	<b>Low Risk</b> – Person may start work, without additional supervision, as they already hold an Enhanced DBS check <u>and</u> there is no break in service of 3 months <u>and</u> 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 - 10 SAMPLE REFERENCE REQUEST FORM TEACHING STAFF**



School Name \_\_\_\_\_

<b>To:</b> (referee's name and organisation)
<b>Request for a reference in respect of:</b> (name of applicant)
<b>In regard to application for:</b> (title of post applied for)
<b>Please confirm the following details</b>  The applicant's period of employment with you:  From _____ To _____
Continuous service date (Previous Local Authority/employer details where applicable):
The applicant's current or most recent job title with you
The main duties and responsibilities of that post:
The applicant's reason for leaving your employment:
How long have you known the applicant?
In what capacity do you know him/her?
Did the applicant perform his/her duties satisfactorily? Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ]
If No please provide details of any areas needing improvement and any remedial action taken:
Please see the job description and person specification attached and comment on the applicant's suitability for this appointment. It would also be helpful if you could describe any strengths and weaknesses, you consider the applicant has demonstrated in relation to the requirements of this job and give examples (please continue on a separate sheet if necessary).

Please tick the statement that best describes the applicant.					
<b>Teaching and Learning:</b>					
<b>Student Learning</b> Learning is outstanding in classes	<input type="checkbox"/>	Most children learn effectively in classes	<input type="checkbox"/>	Needs support and further training	<input type="checkbox"/>
<b>Examination Results</b> In-line with or very much above school targets	<input type="checkbox"/>	In-line with school targets	<input type="checkbox"/>	Below school targets	<input type="checkbox"/>
<b>Preparation of Lessons</b> First class, always attends to fine detail	<input type="checkbox"/>	Sound, sets well focused learning objectives and outcomes	<input type="checkbox"/>	Needs support and further training	<input type="checkbox"/>
<b>Learning Environment</b> Creates an outstanding learning environment	<input type="checkbox"/>	Creates an effective learning environment	<input type="checkbox"/>	Needs support in creating an effective learning environment	<input type="checkbox"/>
<b>Relationship with Pupils/Students</b> Children respond very positively	<input type="checkbox"/>	Children are usually well motivated	<input type="checkbox"/>	Needs support and further training	<input type="checkbox"/>
<b>Class Management</b> Established excellent classroom management	<input type="checkbox"/>	Has occasional difficulty, but classroom management not seen as a significant issue	<input type="checkbox"/>	Needs support and further training with classroom management	<input type="checkbox"/>
<b>Assessments and Marking</b> Assessments and marking are highly effective with high quality teacher/pupil feedback	<input type="checkbox"/>	Assessments and marking are effective with quality teacher/pupil feedback	<input type="checkbox"/>	Marking is regular and identifies strengths and targets but there is limited impact on pupil/student progress.	<input type="checkbox"/>
<b>Work as tutor</b> Caring, provides outstanding learning support	<input type="checkbox"/>	Carries out agreed tasks reliably	<input type="checkbox"/>	Needs support in effective learning support strategies	<input type="checkbox"/>
<b>Professional Development</b> Very pro-active, giving high priority	<input type="checkbox"/>	Undertakes some professional development when required	<input type="checkbox"/>	Passive, low priority	<input type="checkbox"/>

<b>Relationship with colleagues</b> Respected by all	<input type="checkbox"/>	Respected within own circle	<input type="checkbox"/>	Does not engage with colleagues	<input type="checkbox"/>
<b>Drive and Enthusiasm</b> Works hard and with great interest	<input type="checkbox"/>	Works well	<input type="checkbox"/>	Needs regular support and encouragement	<input type="checkbox"/>
<b>Organisation</b> First-class organiser, attends to fine detail	<input type="checkbox"/>	Sound organizer, has a good idea of aims and objectives	<input type="checkbox"/>	Can be disorganized and needs support	<input type="checkbox"/>
<b>Teamwork</b> Works well with others, taking a lead when necessary	<input type="checkbox"/>	Works well in a team	<input type="checkbox"/>	Prefers to work independently	<input type="checkbox"/>
<b>Accepting Responsibility</b> Always eager to accept responsibility related to own work	<input type="checkbox"/>	Accepts responsibility for own work	<input type="checkbox"/>	Has a tendency to blame others, rather than accepting responsibility	<input type="checkbox"/>
<b>Uses Data Effectively</b> Uses data effectively both as a manager and as classroom teacher	<input type="checkbox"/>	Regularly uses data to assist planning and monitoring	<input type="checkbox"/>	Uses data only occasionally	<input type="checkbox"/>
<b>Support</b> Always offers support	<input type="checkbox"/>	Always offers support for appropriate occasions	<input type="checkbox"/>	Occasionally offers support	<input type="checkbox"/>
<b>Punctuality</b> Always on time	<input type="checkbox"/>	Usually on time	<input type="checkbox"/>	Has needed prompting on occasions	<input type="checkbox"/>
<b>Deadlines</b> Instantly	<input type="checkbox"/>	Within the timescales given	<input type="checkbox"/>	Only after a reminder	<input type="checkbox"/>
<b>Extra-Curricular</b> Gives their time generously	<input type="checkbox"/>	Does their 'fair' share	<input type="checkbox"/>	Rarely assists outside school hours	<input type="checkbox"/>

<b>For Leadership positions, please evaluate the following:</b>					
<b>Uses initiative and is solution focussed:</b> Driven, independent thinker who requires no prompting from others and delivers strong strategies	<input type="checkbox"/>	Works well with others to find solutions	<input type="checkbox"/>	Prefers to take direction from others	<input type="checkbox"/>
<b>Can inspire and empower others:</b> Instills confidence and is able to evidence strong motivational skills	<input type="checkbox"/>	Well driven and willing to offer guidance	<input type="checkbox"/>	Lacks drive and inspiration	<input type="checkbox"/>
<b>Can implement strategies quickly and work at pace:</b> Demonstrates a 'can do' approach and attitude at all times and QAs processes for impact	<input type="checkbox"/>	Always works to set deadlines and evidences a strategic approach	<input type="checkbox"/>	Shows a lack of initiative and can need prompting to meet set deadlines	<input type="checkbox"/>
<b>Is able to evaluate effectively and work with impact:</b> Strives to achieve the ultimate goal and evidence impact	<input type="checkbox"/>	Able to evaluate effectively and change direction when required	<input type="checkbox"/>	Fails to act prudently and evaluate effectively, resulting in little or no impact	<input type="checkbox"/>
<b>Sets realistic targets for self and others:</b> Evaluates effectively and sets realistic goals which are well communicated to staff	<input type="checkbox"/>	Understands reasonable expectations and sets appropriate targets	<input type="checkbox"/>	Sets targets that often fail to have impact	<input type="checkbox"/>
<b>Monitors and intervenes effectively:</b> Provides early intervention to avoid escalation	<input type="checkbox"/>	Intervenes when made aware that support is required	<input type="checkbox"/>	Slow to recognise problem areas and apply intervention when required.	<input type="checkbox"/>
<b>Can plan strategically and design actions which lead to improvement:</b> Able to identify areas for improvement and strategically design effective implementation plans to drive positive outcomes	<input type="checkbox"/>	Offers ideas and supports the implementation of bespoke action plans	<input type="checkbox"/>	Often fails to identify areas for improvement, leading to little or no progress	<input type="checkbox"/>



<b>Provides quality coaching and mentoring, securing improved practice:</b> Has high impact in developing staff, leading to strong practice	<input type="checkbox"/>	Able to develop staff effectively to secure outcomes	<input type="checkbox"/>	Able to identify when coaching is needed but strategy is not always implemented effectively	<input type="checkbox"/>
<b>Leads by example:</b> Creates a clear picture of what is possible, making it easier for others to follow and achieve their goals	<input type="checkbox"/>	Actively demonstrates good practice	<input type="checkbox"/>	Struggles to model the behaviours they wish to see in others.	<input type="checkbox"/>
Please comment on the effectiveness of the applicant's interactions with:  a) Other adults  b) Children and young people					
Are you completely satisfied that the applicant is suitable to work with children?      Yes [ ] No [ ]					
If no, please provide specific details of your concerns and the reasons for your doubts:					
To the best of your knowledge has the applicant ever had an allegation made against them, which was founded, in regard to his/her behaviour towards children?  Yes [ ]      No [ ]					
If Yes please give full details of the nature and date(s) of the allegation(s), by whom they were investigated, what conclusion was reached as a result of the investigation, whether any action was taken and if so what that was?					
Has the applicant been the subject of a disciplinary action in respect of which penalties or sanctions remain in force?  Yes [ ]      No [ ]					

If yes, please give full details of the nature and date(s) of the misconduct and of the penalty or sanctions still in force.

Would you re-employ this person?

Yes ( ) No ( )

If No, please confirm reasons \_\_\_\_\_

**\*Please note we have an open reference policy, and the reference may be shared with the candidate if requested.**

Printed name:

Signature:

\_\_\_\_\_

Position:

Organisation:

**APPENDIX – 11 SAMPLE REFERENCE REQUEST FORM ASSOCIATE STAFF**



School Name \_\_\_\_\_

<b>To:</b> (referee's name and organisation)
<b>Request for a reference in respect of:</b> (name of applicant)
<b>In regard to application for:</b> (title of post applied for)
<b>Please confirm the following details</b>  The applicant's period of employment with you:  From _____ To _____
Continuous service date (Previous Local Authority/employer details where applicable):
The applicant's current or most recent job title with you
The main duties and responsibilities of that post:
The applicant's reason for leaving your employment:
How long have you known the applicant?
In what capacity do you know him/her?
Did the applicant perform his/her duties satisfactorily? Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ]
If No please provide details of any areas needing improvement and any remedial action taken:
Please see the job description and person specification attached and comment on the applicant's suitability for this appointment. It would also be helpful if you could describe any strengths and weaknesses you consider the applicant has demonstrated in relation to the requirements of this job and give examples (please continue on a separate sheet if necessary).

Please tick the statement that best describes the applicant.

<b>Relationship with Colleagues</b> Respected by all	<input type="checkbox"/>	Respected within own circle	<input type="checkbox"/>	Does not engage with colleagues	<input type="checkbox"/>
<b>Professional Development</b> Very pro-active, giving high priority	<input type="checkbox"/>	Undertakes some professional development when required	<input type="checkbox"/>	Passive, low priority	<input type="checkbox"/>
<b>Drive and Enthusiasm</b> Works hard and with great interest	<input type="checkbox"/>	Works well	<input type="checkbox"/>	Needs regular support and encouragement	<input type="checkbox"/>
<b>Organisation</b> First-class organiser, attends to fine detail	<input type="checkbox"/>	Sound organiser, has a good idea of aims and objectives	<input type="checkbox"/>	Can be disorganised and needs support	<input type="checkbox"/>
<b>Teamwork</b> Works well with others, taking a lead when necessary	<input type="checkbox"/>	Works well in a team	<input type="checkbox"/>	Prefers to work independently	<input type="checkbox"/>
<b>Accepting responsibility</b> Always eager to accept responsibility related to own work	<input type="checkbox"/>	Accepts responsibility for own work	<input type="checkbox"/>	Has a tendency to blame others, rather than accepting responsibility	<input type="checkbox"/>
<b>Punctuality</b> Always on time	<input type="checkbox"/>	Usually on time	<input type="checkbox"/>	Has needed prompting on occasions	<input type="checkbox"/>

Please comment on the effectiveness of the applicant's interactions with:

a) Other adults

b) Children and young people

Are you completely satisfied that the applicant is suitable to work with children? Yes [ ] No [ ]

If no, please provide specific details of your concerns and the reasons for your doubts:

To the best of your knowledge has the applicant ever had an allegation made against them, which was founded, in regard to his/her behaviour towards children?

Yes [ ]            No [ ]

If Yes please give full details of the nature and date(s) of the allegation(s), by whom they were investigated, what conclusion was reached as a result of the investigation, whether any action was taken and if so what that was?

Has the applicant been the subject of a disciplinary action in respect of which penalties or sanctions remain in force?

Yes [ ]            No [ ]

If Yes please give full details of the nature and date(s) of the misconduct and of the penalty or sanctions still in force.

Would you re-employ this person?

Yes ( )    No ( )

If No, please confirm reasons \_\_\_\_\_

**\*Please note we have an open reference policy, and the reference may be shared with the candidate if requested.**

Printed name:

Signature:

\_\_\_\_\_

Position:

Organisation:



**APPENDIX - 12**

**Self Declaration Form**

Congratulations on being shortlisted. Please return this disclosure to the school **at least one day prior to 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 \(www.gov.uk\)](http://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](mailto: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
3. 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
4. Are you known to the police or children's social care for any other reason that could affect your suitability for this post? Yes / No
If yes, please provide details here
5. *Only ask if you are recruiting for a post working in regulated activity with children re you included on the DBS children's barred list? Yes / No
If yes, please provide details here
6. *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
7. <b>(TEACHERS ONLY)</b> 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
8. Have you been prohibited from management of an independent school (s128)? Yes / No / Not applicable
If yes, please provide details here
9. 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 – 13** DBS Disclosure risk assessment process and safer recruitment checklist for volunteer  
**This pro-forma should be completed in all cases when deciding whether to obtain an enhanced DBS certificate for any volunteer not engaging in regulated activity.**

The School/UTC should 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.

Name:	
Post applied for/Volunteer role:	
Start date	
Day and time	
<b>Section 2: Initial assessment</b>	
2.1 Is the activity carried out for the purpose of the school and does it provide opportunity for contact with children?	<p>Please Choose</p> <p>If no – an enhanced DBS is NOT required.</p> <p><b>If yes – please complete section 2.2.</b></p>
<p>2.2 Will the person be supervised by an adult on a day to day basis and has the identified “supervisor/s” had an enhanced DBS and barred list check.</p> <p><i>“Supervised”: This means that supervision must be ongoing and must not, for example be concentrated during the first few weeks of an activity and then tail of thereafter becoming the exception not the rule.</i></p>	<p>Please Choose</p> <p>If you cannot confidently say yes to the person being supervised continually by another who is in regulated activity, please indicate why.</p> <p>An enhanced DBS with a Barred List Check <b>must</b> be carried out in this circumstance.</p> <p><b>Please complete point 2.3</b></p> <p>If the answer to this question is yes. <b>Please move onto point 2.4</b></p>
2.3 In order to clarify why the DBS is being undertaken, please outline below the activity the person will be doing.	
2.4 Please indicate the adult/s responsible for supervising the person	Name/s:

<b>Section 3 Wider Considerations</b>	
<p>3.1 Has the school's insurer confirmed whether a volunteer would invalidate insurance if for example a child was injured under the supervision of volunteer?</p> <p><i>Most insurers would say that a member of school staff must be responsible for the children at all times to be in charge of those children and so a volunteer cannot take charge of children alone. Health and Safety Act places a duty on the member of staff responsible for supervising.</i></p>	<p>Please confirm if the school insurance would cover the volunteer for the activity that they will be engaging in.</p> <p>Please Choose</p> <p><i>Please note that invalidating insurance is not a justifiable reason to undertake an enhanced DBS. Therefore, schools are advised to follow the terms of their insurance policies in respect to engaging volunteers.</i></p>
<p>3.2 Have two references been obtained for the volunteer. Can the volunteer supply at least one reference from someone other than a family member, including a senior person at the employment or voluntary Service?</p>	<p>Please Choose</p>
<p>3.3 Are there any concerns raised about the person's suitability to work with children in any of the references?</p>	<p>Please Choose</p> <p>If there have been concerns raised in the reference about the individual's suitability to work with children, please consult with the volunteer about the concerns raised, and make an informed judgement in consultation with your HR advisor on whether an enhanced DBS may be necessary.</p> <p><b>Please indicate rationale behind decision making in section 3.4</b></p>
<p>3.4 Concerns about individual's suitability to work with children raised in reference.</p>	<p>Decision making for undertaking/not undertaking an enhanced DBS and rationale (please include details of professionals consulted with)</p>
<p>3.5 Has the volunteer's identity been verified?</p>	<p>Please Choose</p>
<p>3.6 Is the volunteer aware of any reason why they should not volunteer to work with children?</p>	<p>Please Choose</p>
<p>3.7. Does the volunteer have a connection to the school? i.e. are they a parent/relative of a pupil.</p>	<p>Please Choose</p>

Section 4: Decision Making		
	Decision Made	Completed by:
<p><b>Unsupervised Volunteer: High Risk</b> – the school cannot guarantee the volunteer will be supervised.</p> <p><i>“Unsupervised”:</i> This means that supervision cannot always be guaranteed to be ongoing. Please refer to 2.2</p>	<p>Application for an enhanced DBS check with a barred list check <b>must</b> be made.</p>	
<p><b>Supervised Volunteer: High Risk</b> – the person has no previous connection with the school AND cannot provide references from elsewhere.</p> <p><i>There is no statutory reason why this person needs to apply for an enhanced DBS Certificate. However, the school should consider whether the person’s uncorroborated background would raise an unacceptable risk.</i></p>	<p>Application for enhanced DBS check is/ is not needed. State reason(s) below:</p>	
<p><b>Supervised Volunteer: Medium Risk</b> – The person can provide suitable references for other work with children (either paid or unpaid), they have a connection to the school, and no issues have come to light that would mean they would be unsuitable.</p> <p><i>There is no statutory reason why this person needs to apply for an enhanced DBS Certificate. However, the school may wish to do so, as no enhanced DBS has been seen.</i></p>	<p>Application for enhanced DBS check is/ is not needed. State reason(s) below</p>	
<p><b>Supervised Volunteer: Low Risk</b> – The person is signed up to the DBS Update Service and the checks reveal no negative information OR The person is employed or volunteers elsewhere and has a recent enhanced DBS and can provide references OR the school knows the person well (eg. may be a former employee)</p> <p><i>There is no statutory reason why this person needs to apply for an enhanced DBS Certificate. However, unless the person uses the DBS Update service, the school may decide to obtain a new enhanced DBS.</i></p>	<p>Application for enhanced DBS check is/ is not needed. State reason(s) below:</p>	

Outcome of DBS risk assessment	<b>No DBS</b> <input type="checkbox"/>	<b>Enhanced DBS</b> <input type="checkbox"/> <b>Enhanced DBS with barred list check</b> <input type="checkbox"/>

Section 5: Form completed by.	
Name:	
Signature:	
Position in school:	
Date:	
Signature of Headteacher	
This form must be kept in the HR file of the volunteer.	

**APPENDIX 14 – CONVICTIONS AND CAUTIONS FLOW CHART - [List of offences that will never be filtered from a DBS certificate](https://www.gov.uk/government/publications/dbs-list-of-offences-that-will-never-be-filtered-from-a-criminal-record-check) - GOV.UK ([www.gov.uk](https://www.gov.uk))**

