

Pickwick Academy Trust



Recruitment Policy

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Responsible Reviewing Officer and Job Title:	Louise Skittrall, HR Consultant
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1. Introduction

- a. The Trust is committed to ensuring that there is no discrimination on the grounds of age, disability, gender reassignment, marriage/civil partnership, pregnancy, maternity, race, religion or belief, sex or sexual orientation at any stage of the recruitment process or in the terms and conditions offered to new employees or promoted employees.
- b. The Trust will ensure that it employs individuals in a fair and consistent manner free from discrimination. It endeavours to attract, recruit and retain staff of high calibre across all of its schools by ensuring that there is a good match between the skills of individuals appointed and the skills, experience and attributes required to undertake a role successfully.
- c. Safeguarding and promoting the welfare of children is a responsibility of everyone working in the school and is a key responsibility for school leaders. It is vital that schools maintain a safe environment and create a culture of safe recruitment. Schools must adopt procedures that help deter, reject or identify people who may seek employment at a school to abuse children.
- d. The Recruitment Policy aligns with the processes outlined in the Trust's Financial Procedure Manual, and should be used as a reference when recruiting new staff to Pickwick Academy Trust.

2. Purpose and Scope

- a. The purpose of this policy is to collate principles of good practice and to set out the process of recruitment, taking account of the statutory guidance released by the Department for Education 'Keeping Children Safe in Education' (KCSIE). This guidance document accords with the September 2021 version of that guidance.
- b. This policy will support the Trust to ensure all schools recruit the best possible candidates for the benefit of the children in our schools; provide clarity to the recruitment process and ensure equality and consistency around recruitment practices
- c. This policy applies to all those involved in a recruitment process. This includes: Central Trust staff; Executive Headteachers; Heads of Schools; Headteachers; Teaching and Support staff; and Governors, Trustees and Members.

3. Responsibilities and Accountabilities

- a. All schools within the Trust are required to obtain authority to recruit to a newly created post, or to a post that exists within the school's staffing structure but has become vacant.

- b. Authority should be obtained from the CEO or Business Director by using the 'Staffing Control Sheet' form in Appendix 2. In the case of CEO recruitment, this authority should be obtained from the Chair of Trustees.
- c. When considering recruitment as a result of a vacancy, it can be beneficial to assess whether the work can be carried out differently within the school or in conjunction with another school within the Trust amending/creating job descriptions as appropriate.
- d. Staff identified to manage a recruitment process (referred to in this policy as the Recruiting Manager) should allow one week for the necessary authorisation to be obtained and this should be taken into consideration when planning the recruitment process.
- e. Trustees are responsible for:
 - Monitoring and implementing effective policies to ensure recruitment at the school is in accordance with the relevant legislation.
 - Ensuring that staff recruitment is as safe as possible, as well as fair and compliant with the relevant legislation (Safer Recruitment training).
 - Determining appointments of the Executive Team; consulting with SDBE for those with line management responsibilities of Church Schools and inviting them to appoint an advisor to take part (but not vote) in the appointment process for the role of Headteacher/ Head of School).
 - Providing support with the recruitment of Headteachers and Heads of School as required
- f. The Local Governance Committee is responsible for:
 - Providing support with the recruitment of Headteachers and Heads of School, Senior leaders and Teachers; ensuring that the SDBE is consulted in relation to recruitment of Heads of Church Schools.
 - Ensuring Head/Recruiting Manager has carried out the appropriate checks on staff, volunteers, contractors and agency workers working within the school.
 - Ensuring that at least one member of the recruitment panel has undertaken recruitment training (including training on unconscious bias, anti-discrimination, the need to take notes of interviews and carrying out interview scoring) before the selection process begins.
 - Ensuring that at least one member of the recruitment panel has undergone safer recruitment training and that all members of the recruitment panel are familiar with their obligations with regards to safer recruitment, as set out in KCSIE. This will be confirmed as part of a Safeguarding Audit.
 - Ensuring that all members of the recruitment panel understand their role, i.e. advisory or decision making.

- Monitoring the advertising of vacancies, assessing how they are being advertised and whether the adverts are maximising all of the opportunities to attract the appropriate candidates.
 - Ensuring that the Executive team, the Trust Board; and the SDBE where the appointment is for a Church of England School; are represented on the recruitment panel for a new Head of School or Headteacher.
 - Monitoring the school's SCR to ensure that the necessary vetting checks for employees are carried out.
 - Ensuring that equal opportunities are established and implemented throughout the recruitment process.
 - Ensuring that a fair salary for the successful candidate is determined.
 - Accommodating the needs of new employees and making reasonable adjustments when necessary.
 - Ensuring that any recruitment data that is kept is in accordance with the Records Management Policy.
- g. The Executive Team are responsible for:
- Determining appointment of Headteachers, Heads of School and central team alongside trustees and the SDBE, where relevant.
 - Providing Heads with support around the recruitment of senior leaders and teachers
- h. The Head or CEO (or nominated Recruiting Manager) is responsible for:
- Selecting a recruitment panel. The SDBE must be consulted on those roles with line management responsibilities of Church Schools and they must be invited to appoint an advisor to take part (but not vote) in the appointment process for the role of Headteacher/ Head of School.
 - (See Section 11 for further guidance on recruitment panels.)
 - Ensuring appropriate checks have been carried out on prospective staff, volunteers, contractors and agency workers working within the school.
 - Ensuring that appropriate supervision of employees/volunteers is organised, and for promoting the safety and wellbeing of pupils generally and throughout the recruitment process.
- i. The recruitment panel is responsible for:
- Reviewing the advert and ensuring that it meets all the necessary requirements.
 - Shortlisting the potential candidates with the aim of reducing the application field and identifying those with the potential to effectively undertake the role.
 - Appropriately delegating responsibility for recruitment to the Head, Executive Head or CEO.

- Setting appropriate recruitment procedures, as per the scheme of delegation.
- Ensuring that at least one person on the interview panel has undergone safer recruitment training and that all members of the recruitment panel are familiar with their obligations with regards to safer recruitment, as set out in KCSIE. This should be confirmed to the Safeguarding Governor of the LGC, as part of an audit process.
- Ensuring that the interview addresses leadership ability, team working skills, reasons for interest in joining the school, integrity, understanding of the school's ethos and vision, and why the candidate believes they would be a good fit for the school.
- Ensuring that the interview addresses safeguarding practices.
- Agreeing with the successful candidate when other members of the school community will be informed about their appointment, including staff members and parents.

4. Definitions

Regulated Activity – includes:

- a. Teaching, training, instructing, caring for or supervising children if the person is unsupervised, or providing advice or guidance on physical, emotional or educational wellbeing, or driving a vehicle only for children.
- b. Working for a limited range of establishments (known as 'specified places', which include schools and colleges), with the opportunity for contact with children, but not including work undertaken by supervised volunteers.
 - The above definitions are classified as regulated activity if they are undertaken regularly. Regularly is defined by the Safeguarding Vulnerable Groups Act 2006 as 'a regulated activity carried out frequently by the same person or if the period condition is satisfied (more than 3 days in a period of 30 days and, for the purpose of part a, apart from driving a vehicle, if it gives the opportunity for face to face contact with children at any time between 2am and 6am.
 - Some activities are always regulated activities, regardless of frequency or whether they are supervised or not. This includes relevant personal care, or health care provided by, or under the supervision of, a health care professional. Personal care includes helping a child with eating or drinking for reasons of illness or disability, or in connection with toileting, washing, bathing and dressing for reasons of age, illness or disability. Health care means care for children provided by, or under the direction or supervision of, a regulated health care professional.
- c. A supervised volunteer who regularly teaches or looks after children is **not** in regulated activity.

Teaching role – refers to a role involving planning and preparing lessons and courses for pupils; delivering lessons to pupils; and assessing and reporting on the development, progress and attainment of pupils. These activities are **not teaching work** for the purposes of ‘Keeping children safe in education’ (KCSIE) if the person carrying out the activity does so (other than for the purposes of induction) subject to the direction and supervision of a qualified teacher or other person nominated by the Headteacher to provide such direction and supervision.

Basic DBS – this provides details of convictions and conditional cautions considered to be ‘unspent’ under the terms of the Rehabilitation of Offenders Act 1974.

Standard DBS – this provides information about convictions, cautions, reprimands and warnings held on the Police National Computer, regardless of whether or not they are spent under the Rehabilitation of Offenders Act 1974. It allows for certain old and minor matters to be filtered out.

Enhanced DBS – this provides the same information as the standard DBS, plus any additional information held by the police which a chief officer reasonably believes to be relevant and considers ought to be disclosed.

Enhanced DBS with children’s barred list check – this check is required for when people are working or seeking to work in regulated activity with children. This check allows for additional checks to be made as to whether the person appears on the children’s barred list.

Children’s barred list – the DBS maintains a ‘barred list’ of individuals who are unsuitable to work with children and vulnerable adults. In addition, where an enhanced DBS including a barred list check is obtained, the certificate will also detail whether the applicant is subject to a direction under section 128 of the Education and Skills Act 2008 or section 167A of the Education Act 2002.

Section 128 check – this provides for the Secretary of State to direct that a person may be prohibited or restricted from participating in the management of an independent school (which includes academies and free schools). A person prohibited under section 128 is also disqualified from holding or continuing to hold office as a governor of a maintained school.

Safer recruitment – this is the safeguarding and protection of pupils during the recruitment and selection process. Its overall purpose is to help identify and deter or reject individuals who are deemed to be at risk of abusing children. Following the steps to ensure safer recruitment is the first opportunity to minimise risk.

5. Preparing for recruitment

- a. Please refer to the Recruitment Procedure in Appendix 1 for a detailed step by step recruitment guide.

- b. When a vacancy has been identified, it is important to allow sufficient time for planning and structuring the process including reviewing the job description and person specification. Ensure the job description (JD) and person specification (PS) remain up to date and reflective of the vacancy that you wish to fill. Roles and responsibilities may have changed since the last person was recruited. Consideration must be given when updating job descriptions to ensure a consistent approach for standard roles and responsibilities across schools remains in place.
- c. The advertisement, job description and person specification should include a specific reference to the post holder's responsibility for safeguarding and consideration of working in different sites of the Trust.
- d. Map out the recruitment process - decide where you want to advertise the post. Pickwick Academy Trust recommend that all adverts appear internally. External advertising can run at the same time as internal adverts, but schools must be mindful of their responsibility to mitigate redundancies across the Trust. Decide what information you want to include in the advert and when the advert will appear. (See further information on advertising in section 8.)
- e. Agree who will be involved in the recruitment and selection process and what each person's role and responsibilities will be. Plan the selection exercises you will use. Seek advice from HR if you need more information about what tests and assessments are available for you to consider.

Statements for Inclusion

- a. All Trust schools are required to include a statement about the organisation's commitment to equal opportunities and safeguarding and promoting the welfare of children. This should be included on job adverts and on various documentation contained in candidate information packs.
- b. "At Pickwick Academy Trust we are committed to safeguarding children and promoting the welfare of children and young people and we require anyone joining our school to actively contribute to this commitment. All successful candidates will be subject to Disclosure and Barring Service (DBS) checks along with other relevant employment checks. The post is exempt from the Rehabilitation of Offenders Act 1974 and the amendments to the Exceptions Order 1975, 2013 and 2020
- c. "Pickwick Academy Trust is committed to equality of opportunity for all. Our aim is to ensure that no applicant or employee is discriminated against or is disadvantaged by policies, procedures, conditions or requirements."

6. Recruitment Packs

- a. HR will plan and prepare the information pack for candidates (may be an online or paper version (or both)). The pack should include:
- An up to date job description and person specification.
 - Details about the type of job and pay grade.
 - Statement of main terms and conditions applicable.
 - Standard application form and Equality and Diversity Monitoring Form.
 - Job applicant privacy statement.
 - Details of how to arrange a visit to the school.
 - Letter from Head/Chair of Governors/ CEO/ Chair of Trustees (dependant on post being recruited).
 - Overarching Safeguarding Statement.
 - Professional Expectations and Standards Policy (applicable to Staff visitors, volunteers and students).
 - Details of the selection processes, e.g. dates for interviews, tests, other selection activities.
 - Details of the pre- employment checks which are required for appointment to the post and the school's commitment to safeguarding.
 - Pickwick Academy Trust's Vision and Strategy document.
 - Example reference request forms.

Information relating to the Recruitment of Ex-offenders

- b. HR will compile the above documents. The recruiting school must add the documents to their website under the vacancy section. The school may add their School Information Pack/Booklet if they have one and their Child Protection policy, or a link to the relevant website page.
- c. The information provided to candidates in the pack will help ensure that the most suitable candidates apply for the role and will assist in deterring others.
- d. Applicants must complete a standard application form. It is **not** acceptable practice to rely on a curriculum vitae produced by a potential employee.
- e. The completed application form should be carefully scrutinised to ensure it has been completed in full and to check for gaps or anomalies. It also standardises the information that you receive so it is easier to compare candidates fairly for short listing purposes.
- f. Word of mouth recruitment or unsolicited applicants should be asked to apply for a specific post and complete the relevant application form in the same way as for other candidates.

7. Advertising

- a. Advertising the post should be led by the HR team; any adverts will need to be completed by HR and approved by the recruiting manager before being published.

- b. The post should be advertised both internally and externally, where appropriate, as widely as possible and the advert should be clear about the responsibilities, grade and location of the job and the qualifications and experience that are considered essential. This information should be consistent with the job description and person specification.
- c. The advert should include any key messages that you want to get across, it should clearly state the school's commitment to safeguarding, the specific safeguarding responsibilities that apply to the role. and that candidates will be subject to a range of pre-employment checks including an enhanced DBS check, and barred list check if working in regulated activity. These statements should aid in deterring any unsuitable applicants.
- d. All roles advertised should have a closing date and specify the intended interview date.
- e. Consider school holidays and notice periods that may apply to potential applicants when considering when to advertise a post.
- f. Advertisements are the first stage of the filtering process. Candidates should be able to make an initial judgement about their own suitability for the post and self-select according to the information contained in the advert.

8. Shortlisting

- a. At least two people should carry out short listing (one of which should be the recruiting line manager) using an evaluation grid, ideally independently of each other with collation of views once independent shortlisting has been completed. The shortlisting process provides an opportunity to check all application forms, ensure that dates line up and there are no unexplained gaps in the applicant's employment history. Referees must be provided in line with trust requirements stipulated on the application form. If there are gaps, inconsistencies or concerns, contact the applicant to obtain further information or highlight the need to take this up at interview.
- b. You can also make a note to ask for reasons where there have been changes of employment without clear career or salary progression or a change from permanent to temporary work etc. Any notes made should be retained in case of any challenge to the process. All parts of the application form should be used to assess whether the applicant meets the requirements on the person specification. Score each applicant against every essential requirement, where it is possible to make an assessment from a written form. Criteria, which it is more suitable to assess at interview, should be disregarded at this stage but noted to be included in the interview process (proformas will be supplied by HR, dependent on role).

- c. The panel will ensure that the shortlisting process is as systematic as possible, and that all applications are read.
- d. A template for the 'Shortlisting Evaluation Grid Application Stage' is provided in Appendix 3.

9. References

- a. This section sets out the arrangements for the request of references for applicants, as well as the provision of employment references for existing staff.
- b. References must be requested at the short-listing stage, including internal applicants and should cover at least 5 years of employment, where relevant. A check must be made as to whether approval has been given to contact the current employer before interview. If an applicant requests their current employer is not contacted prior to interview, it is our policy that a reference should be obtained from the second referee in all circumstances once an applicant has agreed to attend interview. The recruiting manager should review references before interview so that any issues of concern they raise can be explored further with the referee and taken up with the candidate at interview. In exceptional circumstances, due to recruitment timings, interviews may take place before references are sought or received; if this is the case, no job offer should be made unless it is explicable clear that the offer is subject to the 'receipt of 2 references which are satisfactory to the Trust and show that you will meet the skills and ways of working, which we have highlighted as important for the role'. All references must have been received within one month of the candidate beginning their employment.
- c. The purpose of seeking references is to obtain objective and factual information to support appointment decisions. The HR Recruitment team must issue the Pickwick Leadership, Teacher, Support Staff or Character Reference Request Forms and provide a copy of the job description and person specification to the person providing the reference.
- d. References should always be requested directly from the referee using a standard form, and schools should not rely on open references, for example in the form of 'to whom it may concern' testimonials. Do not rely on applicants to obtain their reference. References should be sought from a line manager within the organisation of their current or most recent employment and not, for example, a colleague. If a candidate is not currently working with children, a reference must also be obtained from the school, college, childcare setting or local authority at which they were most recently employed, if relevant to the post applied for, to confirm details of their employment and their reasons for leaving.
- e. 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. They should also be compared for consistency with the information provided by the candidate on their application form. Where necessary, clarification can be sought by telephone but referees must be asked to confirm in writing if any key extra information provided is used in decision-making. A written record of any telephone conversation must be kept on file. Any discrepancies should be taken up with the candidate.

- f. If there is any doubt about the authenticity of a reference, it should be vetted to ensure it has originated from a credible source. Contact referees via the organisation's main contact telephone number as listed on the organisation's letterhead/company profile. Avoid direct dial telephone numbers when making such checks.
- g. Any information about past disciplinary action or allegations should be considered carefully when assessing the applicant's suitability for the post (including information obtained from the Teacher Services system (Secure Access)). References that refer to disciplinary investigations must be confirmed as accurate by the Headteacher or Line Manager, if the reference is not from a school/ college.
- h. Reference requests must be marked private and confidential or sent with password protection, and should ask if the referee is completely satisfied that the candidate is suitable to work with children/vulnerable groups and if not, to provide specific details of concerns and reasons why.
- i. Schools are advised to take up a **minimum** of two professional references for external applicants and one reference for internal candidates. Where reference responses provide very little or inadequate information, consideration should be given to taking up additional references. Please note that the factual elements of references can be discussed with applicants, but references should not be shared in their entirety.
- j. The purpose of providing a reference is to provide objective and factual information to a prospective employer.
- k. All incoming requests for references must be reported to the Head/CEO on receipt. Completion of the reference may be delegated, but all references must be checked and authorised by the Head/CEO before sending. Legislation allows an employee to bring a legal case against the individual who has provided a reference if it is not factual or evidenced, so a considered approach is required.
- l. All incoming requests for references made to school governors or senior leaders within Pickwick Academy Trust (including those for Heads or Deputy Heads) must be reported to the CEO on receipt. Completion of the reference may be delegated, but all references must be checked and authorised by the CEO before sending.

- m. All incoming requests for references made regarding the CEO, Finance Director, Business Director or the Board of Pickwick Academy Trust must be reported to the Chair of the Pickwick Board on receipt. Completion of the reference may be delegated, but all references must be checked and authorised by the Chair of the Board before sending.

10. Interviews and Selection

- a. It is essential that a face-to-face interview takes place prior to any appointment (these can be done virtually if required, as long as they are still face-to-face). The interviews should assess the merits of each candidate against the requirements in the person specification and job description.
- b. Telephone interviews can be used as part of a shortlisting process but should not be substituted for a face-to-face interview.
- c. The HR team are responsible for inviting the applicants to interview. Invitations to interview should:
 - Detail all the arrangements such as date, time, panel members, length of the selection process, selection activities.
 - Include a Self – Declaration of Criminal Record form which must be returned in person when they attend the school for interview or via password protected email to the school, if the interview is conducted online (a hard copy signed by the successful candidate must be held by the school).
 - Inform candidates that the interview is assessing their suitability to do the job as well as their suitability to work with children.
 - Remind them to bring all relevant documents, such as DBS disclosures where available, proof of qualifications, proof of identity, documentation providing their right to work in the UK, a completed Self-Declaration of Criminal Record form and a document confirming their current address.
 - Copies of the above should not be accepted; it is originals only that can be presented. Copies of the successful candidate's Right to work in the UK documents, proof of identity and proof of address should be taken, signed, and dated at interview, and subsequently added to the SCR and filed in the personnel file. (DBS details should be added to the SCR. The school must not retain copies of the DBS certificates and Self Declaration of Criminal Record Forms for longer than 6 months).

11. Selection and Interview Panel

- a. At least one person on any appointment panel should have undertaken safer recruitment training.
- b. Panels of at least two people should be involved in interviews, allowing for one member to observe and assess the candidate and make notes while the

other is talking and asking questions (however, all interviewers should take notes so that responses can be compared and cross-checked against scoring criteria). Alternatively, panels may find it helpful to have someone present who can focus on taking notes. Scoring should be used to assist in candidate evaluation.

- c. Interview questions should be prepared in advance and should be designed to test criteria outlined in the job description and person specification. All interviewers on an interview panel should meet and agree the questions to be asked, so that the right topics are covered (based on job description and person specification) and no duplication occurs. See section 13 for further information. A template which ensures all key areas are covered is provided in Appendix 4 - Interview Form including questions. They will also need to have identified any issues they want to explore further from the candidate's application form and employment checks.
- d. Schools should ensure that sufficient numbers of staff and governors are trained in advance of recruitment activities to form interview panels when necessary.
- e. Senior Leader interview panels should consist of the following:
 - The interview panel for an Executive Headteacher (or other senior Executive team member) should consist of the CEO and a combination of 3 Trustees and/or Members.
 - The interview panel for a Head of School/Headteacher should consist of the CEO, Executive Headteacher and a combination of 3 Governors /Trustees (the panel must have Trust Board representation)
 - The interview panel for a Deputy Headteacher should consist of the Head, Executive Headteacher and up to 3 Governors.
 - The interview panel for positions with Teaching and Learning Responsibility (TLR) Points, or other senior leader posts, should consist of the Head, Executive Headteacher and at least 1 Local Governor.
- f. In line with the Memorandum of Understanding, the SDBE is invited to appoint an advisor to take part (but not vote) in the appointment process for the role of Headteacher/ Head of School in a Church of England school

12. Scope of Interview

- a. To further assess the suitability of the candidate for the particular post the interview panel should also examine:
 - The candidate's attitude towards children.
 - This may be assessed through their personal statement and through interview questions that probe their values, beliefs and ethics.
 - The candidate's motivation to work with children.

- Questions on their vision for education and learning and development of the child and young person and what their role is in contributing towards achieving this vision can help you assess their motivation.
 - The ability to form relationships and respect professional boundaries.
 - This should be assessed through focused questions and complementary activities, such as group exercises or occupational personality questionnaires.
 - Their emotional resilience in working with challenging behaviours and their attitudes in managing discipline and towards authority.
 - Their ability to support the school's safeguarding agenda and promote children's welfare.
 - Gaps in the candidate's employment history and explanation of repeated changes in career must be discussed and clarified.
 - Any concerns raised through contact with referees should be discussed with the candidate. If for any reason references have not been provided before the interview, the candidate should be given the opportunity to declare/discuss anything that may come to light on the collection of references
 - Any relevant information that has been provided on the Self-Declaration of Criminal Records form. Any information that is "protected" under the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (2013 and 2020) does not need to be disclosed and must be discounted. Those on the interview panel must refer to <https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974> for clarification of what constitutes protected information. If information is disclosed this must be investigated fully, if relevant to the role, and information may need to be obtained or provided from external agencies.
- b. A robust selection process should not rely solely on the interview.
- A range of selection activities should be designed in order to assess who is the most suitable candidate for the job. For teachers and support roles, it is legitimate to involve students in the process, who can contribute to the panel's assessment of the ability to interact with children.

A short administration task or pupil activity may be administered during an MDSA/Lunchtime Playworker/Classroom Technician interview. Teaching Assistant interviews may include a class activity, an administration/typing task, phone or an online basic skills test may be administered during an interview for an Admin role.

- c. The school must add the successful candidate's application form and interview assessment sheets to the personnel file. Please ensure the

application form has been signed. The Equality & Diversity Monitoring Form will be detached from the application and will remain with HR, who will retain the form for a maximum period of 6 months. The school must destroy the unsuccessful application forms and all Self Declaration of Criminal Record Forms after a maximum period of 6 months.

13. Questioning technique

- a. The ability to ask questions that probe deeper and get beneath superficial answers is a skill that takes time to develop and practice. Those who wish to deceive are practiced in the art of deception. They may rehearse model answers to questions about safeguarding or areas of their past and it is essential that the questions asked by interviewers unpick and explore these responses so that they can be confident in the validity of the answers (see Appendix 4 for 'Example questions designed to examine an interviewee's attitude towards safeguarding children').

14. After the Interview

- a. After the interview has been completed, the recruitment panel will:
 - Assess all candidates' performance using the same agreed criteria and confirm a preferred candidate.
 - If there is a split vote as to the preferred candidate, the Chair of the recruitment panel will have the casting vote.
 - Contact the successful candidate (see Appendix 1 – Recruitment Process, for example wording).
 - Complete a 'Successful Candidate' form and send to the HR department who will complete the offer letter, contract of employment and new starter forms. The offer letter must stipulate that any offer is conditional, subject to the checks listed in section 30 being satisfactory. These will include:
 - Receipt of 2 satisfactory references
 - A satisfactory Work Health Assessment and Declaration
 - Provision of original documentation to establish the right to work in the UK
 - Provision of documentation to confirm your current address
 - A satisfactory Enhanced Disclosure.
 - Certificate of Good Conduct, if the candidate has lived or worked abroad for more than 3 months in the last 5 years.
 - Ask the successful candidate to provide proof of identification and qualifications, if not already received, and to complete the DBS check as soon as possible.
 - Contact and provide feedback to the unsuccessful candidates – feedback will be verbal and based on evidence of their performance against the person specification for the role.
- b. Interview notes and assessment materials will be held securely for an appropriate amount of time after the interviews, in line with the Data

Protection and Secure Data Handling Policy, in case any aspect of the recruitment process is challenged.

16. Pre-Employment Checks

- a. Heads and LGCs/Trust Board have a responsibility to undertake specific pre-employment checks on every person that they intend to work in their school/Trust. The school/Trust will complete the following checks and will log them on the New Employee Checklist and Single Central Record:
- EEA Check for applicants living or working outside the UK, (*EEA is all EU countries, plus Iceland, Liechtenstein, and Norway) (See section 17 for further information).
 - Overseas checks (see section 17 for further information).
 - A check of professional qualifications and professional status check
 - A prohibition from teaching check (see section 20 for further information).
 - a section 128 prohibition check for people in management positions (see section 35 for further information).
 - An enhanced DBS check (see section 22 for further information).
 - A barred list check (see section 26 for further information).
 - Disqualification from working with children (see section 27 for further information).
 - An identity check
 - A form of identification confirming the applicant's current home address and
 - A check to establish the person's right to work in the United Kingdom. Please use the GOV.UK – An Employer's Guide to Right to work in the UK checks, [Right to work checks: an employer's guide - GOV.UK \(www.gov.uk\)](https://www.gov.uk/guidance/right-to-work-checks). The documents must be signed, dated, logged on the SCR and filed in the personnel file.
 - A driving licence check will be required where the employee will be required to drive in the course of their role.
 - A satisfactory Work Health Assessment & Declaration Questionnaire (only once an offer has been sent - see section 21 for further information).
 - A check of the candidate's social media or wider online presence may also be deemed appropriate for safeguarding reasons.

17. Checks on Individuals who have Lived or Worked Overseas

- a. KCSIE states that for all applicants that have lived or worked outside of the UK must undergo the same checks as all other staff in schools, including obtaining an enhanced DBS certificate with barred list information (even if the teacher has never been to the UK). In addition, schools must make any

- further checks they think appropriate so that relevant events that occurred outside the UK can be considered.
- b. From the 1st January 2021, the Teaching Regulation Agency no longer maintains a list of EEA teachers with sanctions which would have been accessed via Teacher Services (Secure Access). Instead, schools recruiting teaching staff from the EEA must carry out additional safeguarding checks in line with staff that have worked in any overseas country.
 - c. Applicants must provide evidence of their past conduct as a teacher, which should be in the form of a letter of professional standing from the professional regulating authority of the country in which the applicant worked (from all countries, not just EEA countries). Such evidence can be considered alongside other information obtained through other pre-appointment checks to help assess their suitability
 - d. Overseas Criminal Record checks are required for all roles that are eligible for DBS checks (teaching and support staff, volunteers, board members and governors) and where individuals have spent 3 months or more abroad within the last 5 years and they were over the age of 16 (checks must be completed for all countries including EEA countries). This is part of the Pickwick Academy Trust policy and should not be waived, other than in exceptional circumstances approved by the CEO, on in line with the requirements in section g. below.
 - e. The checks must be recorded on the single central record.
 - f. There is no requirement for a school to obtain an enhanced DBS certificate or carry out checks for events that may have occurred outside the UK if, during a period which ended not more than three months before the person's appointment, the applicant has worked:

In a school in England, in a post:

- Which brought the person regularly into contact with children or young persons; or
 - To which the person was appointed on or after 12th May 2006 and which did not bring the person regularly into contact with children or young persons; or
 - In an institution within the further education sector in England, or in a 16-19 Academy, in a post which involved the provision of education which brought the person regularly into contact with children or young persons.
 - All other relevant pre-employment checks must be carried out, including a barred list check.
- g. The Home Office has published guidance on criminal record checks for overseas applicants, which involves contacting the relevant embassy to gain a good conduct certificate. The Department for Education has also issued guidance on the employment of overseas-trained teachers which can be

found [Recruit teachers from overseas - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/guidance/recruit-teachers-from-overseas).. This gives information on the requirements for overseas trained teachers from the European Economic Area to teach in England, and the award of qualified teacher status for teachers qualified in Australia, Canada, New Zealand and the United States of America.

h. It is not necessary to delay a start date whilst waiting for a good conduct certificate from the relevant countries, but in such circumstances, a risk assessment should be conducted, with supervision put in place if considered necessary on the basis of the information available.

i. Ex-service personnel who have served abroad

- Where an offer of employment is made to a member of the armed forces it will be necessary to not only carry out a DBS check into the successful candidate's background, but also to ask for the relevant branch of the armed forces (RAF, Army, Navy) to confirm in writing whether the candidate has a criminal record.
- Partners of former armed forces personnel who are returning to work in the UK from abroad at the school will need to supply a 'certificate of good conduct' from the country they were based in.
- See DfE guidance: www.gov.uk/government/publications/criminal-records-checks-for-overseas-applicants

18. Professional Qualifications

- a. The school should verify applicants have the professional qualifications required for the role. Original certificates or certified copies should be inspected. If there are any doubts about the authenticity of a qualification the school should contact the awarding institution for clarification.
- b. A copy of each certificate should be retained on the employee's personnel file.

19. Qualified Teacher Status

- a. Anybody working in a teaching post in a Pickwick Academy Trust school must be a qualified teacher, as defined by The Education (School Teachers' Qualifications) (England) regulations 2012 (as amended) or satisfy the requirements of persons not qualified under schedule 2 of The Education (Specified Work) (England) Regulations 2012.
- b. When making appointments, members of Local Governance committees need to reassure themselves that mechanisms are in place within the school to check that any persons employed to teach there have the required teaching qualifications and have successfully completed statutory induction, if required. The Department's Teacher Services (Secure Access) system should be used to check for both:
- The award of QTS (Qualified Teacher Status)

- Completion of teacher induction

An original (or certified copies) of the QTS certificate and Induction Certificate must be provided and a copy retained in the personnel file. A check of the Teacher Services system (Secure Access) must also be completed, the overview page printed and retained in the personnel file., Overseas trained teachers who qualified in Australia, Canada, New Zealand and the USA may apply for QTS without needing to take further training via the GOV.UK website.

- c. Teachers in FE who have Qualified Teacher Learning and Skills (QTLS) status and membership with the Society for Education and Training will be eligible to work as a qualified teacher in schools in England.
- d. Anybody appointed or engaged to teach in a Pickwick Academy Trust school must have satisfactorily completed their induction year and met the induction standards, in accordance with The Education (Induction Arrangements for School Teachers) (Consolidation) (England) Regulations 2012 or be subject to the exceptions in Schedule 2 of those regulations.

20. Prohibition Orders

- a. Prohibition orders are made by the Secretary of State following consideration by a professional conduct panel convened by the Teacher Regulation Agency (TRA). Pending such consideration, the Secretary of State may issue an interim prohibition order if it is considered to be in the public interest to do so. A person who is prohibited must not be appointed to a role that involves teaching work.
- b. A teaching role is defined as: “Planning and preparing lessons and courses for pupils; delivering lessons to pupils; assessing the development, progress and attainment of pupils; and reporting on the development, progress and attainment of pupils. These activities are not teaching work for the purposes of these Regulations if the person carrying out the activity does so (other than for the purposes of induction) subject to the direction and supervision of a qualified teacher or other person nominated by the Head/CEO to provide such direction and supervision.”
- c. Schools must use the Teacher Services (Secure Access) system to confirm that a teacher is not subject to a prohibition order issued by the Secretary of State. These checks can be made on-line without charge; for further details, see www.gov.uk/teacher-status-checks-information-for-employers
- d. For teachers with qualified teacher status (QTS), the check can be made online using Teacher Services (Secure Access) by inputting their date of birth and their teacher reference number.

- e. Teachers without QTS will not have a reference number. The webpage within the Teacher Services System that requests the date of birth and reference number of the person being searched has a list of five links in the middle of the page. The third link takes the searcher to the prohibition list, where the prohibited teachers are listed alphabetically by surname. Teachers without QTS can then be checked against this list. If their names are not on the list, the check has been done and they are clear.
- f. If their names are on the prohibited list, clicking on the reference number adjacent to the name gives more information about the sanctions that have been imposed. Prohibition orders prevent a person from carrying out teaching work in schools, and the school must ensure that they are not being employed contrary to the s141B Prohibition Order that has been made.

21. Health Checks

- a. Once an employment offer has been made (and not before), a pre-employment health questionnaire (Work Health Assessment & Declaration Questionnaire) must be completed (for roles that are stipulated within the Education (Health Standards) England Regulations 2003) to verify the candidate's mental and physical fitness to carry out their work responsibilities. Anyone appointed to a post that involves regular contact with children should have the appropriate health and physical capacity to undertake the duties of that post, in accordance with The Education (Health Standards) (England) Regulations 2003.
- b. Under the Equality Act 2010 employers cannot ask potential candidates questions about their health, attendance or disability prior to making a conditional job offer. This includes requesting potential candidates to complete any type of pre-employment health questionnaire/screening form. Furthermore, employers are also prohibited from asking referees to comment on an applicant's health, attendance or disability prior to making a job offer.
- c. Therefore, medical screening/pre-employment forms should be completed **after** a job offer has been made. Offers of employment should be conditional upon receipt of a satisfactory health check/clearance and the receipt of satisfactory references.
- d. HR will issue the Work Health Assessment & Declaration Questionnaire with the offer letter and contract. It should be returned to the Head of School. The medical questionnaire must be filed in the personnel file in a sealed envelope.
- e. Please contact HR if there are any concerns or questions. Where appropriate, should further medical information or advice be required, we may request a report from the applicant's doctor. Depending on the information and advice received from the doctor, the applicant may be referred to Occupational Health to seek advice. A referral to Occupational Health should be discussed

with HR. Please also refer to the Managing Absence & Ill Health Policy for the Doctor and OH referral information.

- f. Where the applicant has a disability, consideration must be given to whether there are any reasonable adjustments that can be made to enable the applicant to undertake the role.

22. DBS Checks

- a. All those appointed to work in “regulated activity” with children must have an enhanced DBS check, with barred list check. Most individuals in paid roles are working in regulated activity. The Department for Education (DfE) has published separate statutory guidance on supervision and regulated activity which schools and colleges should have regard to when considering which checks should be undertaken on volunteers.
- b. Roles requiring standard or enhanced DBS checks are exempt from the Rehabilitation of Offenders Act 1974 which means that all criminal information is provided about an applicant, even if it would otherwise be ‘spent’. An enhanced DBS check may also include relevant information the police have on record even if it has not resulted in a caution or conviction (for example if allegations have been made and reported to the police). There is therefore no need to ask questions related to previous convictions.
- c. Where there is a delay in receiving DBS clearance the individual must not work unsupervised with children – (see Section 25 for more information).
- d. Having a criminal conviction does not in itself bar a person from working with children or young people and cases should be assessed fairly and on an individual basis. If a Self-Disclosure of Criminal Record or DBS check discloses convictions or relevant information, the employer must decide whether the person is suitable to be employed in the role concerned. Any decisions made must be done so in line with the trust policy on the employment of ex-offenders (see Appendix 9 and Section 23).
- e. Only a tiny percentage of adults who abuse children get caught and still fewer are convicted, so organisations must never rely solely on a DBS check. DBS checks, although crucial, remain only one element of safeguarding and the safer recruitment process
- f. There is no requirement for a school to obtain an enhanced DBS certificate or carry out checks for events that may have occurred outside the UK if, during a period which ended not more than three months before the person’s appointment, the applicant has worked:
 - In a school in England, in a post
 - Which brought the person regularly into contact with children or young persons; or

- To which the person was appointed on or after 12th May 2006 and which did not bring the person regularly into contact with children or young persons.
 - In an institution within the further education sector in England, or in a 16-19 Academy, in a post which involved the provision of education which brought the person regularly into contact with children or young persons.
- g. Once a DBS check has been completed the DBS certificate will be sent directly to the individual on whom the check has been carried out. The School must request sight of the original certificate.
- h. The school will normally receive email notification from the provider of the outcome of the check. This will either state:
- The check is complete with 'no content' which means the check is clear, or
 - The check is 'completed with content, please wait to view applicants' certificate' which means the check is not clear and must be reviewed.
- i. If the DBS check is clear the school can arrange a start date and ask the applicant to bring the DBS paperwork with them on their first date of employment. The school must see an original copy of the certificate and record the details on its single central record. Presentation of the DBS certificate should be made a condition of employment in the offer letter.
- j. To comply with the Data Protection Act, schools should not retain copies of DBS certificates for longer than six months. [However, copies of other documents may be retained, e.g. passport, driving licence, right to work information, professional qualifications.]
- k. It is the policy of Pickwick Academy Trust that DBS checks be repeated every 3 years to ensure no additional, unknown positive disclosures have been added.
- l. Employees must bring renewed DBS certificates into school to be added to the SCR. It is the responsibility of the Head in each school to ensure any new staff have completed a DBS, the SCR is kept up-to-date and DBS's are renewed every three years.
- m. Please refer to Appendix 8 for the 'Flowchart of Disclosure & Barring Service criminal record checks & barred list checks' from Keeping Children Safe in Education – September 2021.

23. Positive Disclosures (Disclosures with Content)

- a. A positive disclosure (i.e. 'with content') from the Disclosure and Barring Service is a certificate that shows cautions, warnings or convictions. It may show spent convictions and unspent convictions, and for enhanced checks, it

will also show other information that a police force deems relevant to disclose based on the nature of the job that the individual will be employed to do.

- b. If the certificate has 'content' the applicant must be asked to bring the certificate into the school as soon as possible so that the HoS can decide whether or not to employ the person. Any decisions made must be done so in line with the trust policy on the employment of ex-offenders (see Appendix 9).
- c. Disclosures which raise child protection issues should be discussed with the CEO, the HOS and governors. They will make a decision on a case-by-case basis and a risk assessment (Appendix 7) must be completed.
- d. Before a decision is reached on whether to offer or confirm employment to an individual, the individual should be offered the opportunity to discuss the contents of the disclosure with the recruiting manager/Head. A balanced decision to appoint should be based on:
 - Whether they are barred from appointment.
 - Whether the conviction is relevant to the position.
 - The circumstances surrounding the offence, and any explanations provided by the applicant.
 - The seriousness of the offence.
 - The age of the applicant at the time of the offence.
 - The length of time since the offence occurred.
 - Whether there is a pattern to the offending behaviour, or whether it was a one – off.
 - Whether the applicant's circumstances have changed.
 - Whether the applicant has accepted responsibility
- e. Further discussion should take place regarding:
 - Whether the applicant disclosed the conviction(s)/cautions, warnings or reprimands at application or at interview stage, as part of the Self-Disclosure of Criminal Records form.
 - What level of supervision the post-holder will receive?
 - Whether the post involves responsibility for finance or items of value.
 - Whether the nature of the role enables the applicant to potentially re-offend.
- f. If an applicant has made a false declaration on the application form, or anywhere else, about convictions and cautions (or lack of them), this may render the offer of a contract of employment void. Further advice should be taken from HR.
- g. DBS checks do not include overseas information so all applicants (teaching and support staff) from abroad should be checked via a 'certificate of good conduct' from their home country or embassy. (See section 17 for further information.)

- h. Please refer to Appendix 7 for the Positive Disclosure (disclosure with content) risk assessment and further guidance on the Trust's procedure if a positive disclosure is received.

24. DBS Update Service

- a. For an annual subscription, applicants can have their DBS certificate kept up to date and take it with them from role to role. However, if the certificate relates to work with adults and an individual's role changes to working with children then a new DBS application must be made as the basis on which the original certificate was issued has changed.
- b. To apply for the update service, an applicant must apply within 19 days of the criminal record certificate being issued. Individuals can apply at the DBS update service. The DBS update service is very useful to those who have multiple roles where a criminal record certificate is required.
- c. A School must obtain consent from an individual to carry out an online check to view the status and level of the DBS check.

25. Working Where a DBS Check is Delayed

- a. In cases where a DBS check is required but clearance is delayed or outstanding, the individual can begin work provided that all other pre-employment checks have been satisfactorily completed, including a Self-Declaration of Criminal Record form and a separate barred list check (see section 26), The individual must be supervised until full DBS clearance has been received.
- b. In such circumstances, a thorough risk assessment should be undertaken (Appendix 6). There should be no known concerns regarding the individual's background or suitability. The risk assessment should include a review of the individual's employment history and reasons for any breaks in employment or career changes. All references should have been received, checked and verified with the referees and confirmed to be satisfactory by the Head/CEO.
- c. Supervision requires the Head/CEO to ensure that individuals are not allocated duties that put them in an unsupervised situation with pupils, that they are accompanied when working by a member of staff with DBS clearance, that their whereabouts are known to a senior member of staff when they are on site but not working (e.g. during break times), and that the individual fully understands their personal responsibility not to put themselves in a situation where they are alone with pupils and what to do if this situation arises.
- d. The Trust reserves the right, in the event that the DBS check is subsequently received and deemed unsatisfactory to the Head of School, to terminate

employment. It is essential that the individual taking up appointment is aware that this is a possible outcome.

- e. Please refer to Appendix 6 for the 'Working where a DBS check is delayed' risk assessment and further guidance on the Trust's procedure, if a DBS certificate hasn't arrived before the start date.

26. Barred List Checks

- a. Schools should undertake a separate Barred List check via Teachers Pensions online or via the DBS check service provider. This service is used to check whether a teacher is barred from teaching, so they can commence work pending the issuing of their enhanced Disclosure and Barring Service (DBS) certificate.
- b. A separate barred list check should also be undertaken for any member of staff if an existing DBS certificate has been accepted. This should be requested through your DBS provider.
- c. When appointing to a Management position, a section 128 Barring Direction check is required. A section 128 direction prohibits or restricts an unsuitable individual from participating in the management of a school. The check can be completed by checking the employee's name against the 'section 128 barring directions' list on the Teacher Services (Secure Access) system or by choosing 'Independent Schools' as their job title when requesting a new DBS certificate. Section 128 checks must be recorded on the SCR.

27. Childcare Disqualification Regulations

- a. Schools must ensure that they are not knowingly employing a person who is disqualified under the 2018 Regulations in connection with relevant childcare provision.
- b. Individuals with certain cautions or convictions, or childcare orders against them, working in specific settings will be disqualified from working with children, which means the person:
 - Is included on the Disclosure and Barring Service (DBS) Children's Barred List; or
 - Has been found to have committed certain violent/sexual criminal offences; or
 - Is subject to certain orders in relation to the care of children e.g. had a child in their care placed under a care order; or
 - Has been refused or has had cancelled registration relating to childcare, or children's homes, or has been prohibited from private fostering; or

- Has been found to have committed an offence overseas (which would constitute an offence if it had been done in any part of the UK).
- c. **Staff** - Staff are covered by the Act if they are employed and/or provide childcare in either the early years or later years.
- d. Early years means up to and including reception year.
- e. Later years covers children above reception age but who have not attained the age of 8 outside of the normal school day. This includes before-school settings, such as breakfast clubs, and after school provision but not extended school hours for co-curricular learning activities, such as the school's choir or sports teams.
- f. **Managers** - Staff who are directly concerned in the management of early or later years provision are covered by the legislation. Schools will need to use their judgement to determine who is covered, this may include members of the school's leadership team and any manager, supervisor, leader or volunteer responsible for the day-to-day management of the provision.
- g. Schools must ensure that applicants for jobs covered by the regulations are not disqualified. The statutory guidance states that schools must keep a record of 'those staff who are employed to work in or manage relevant childcare settings and should record the date on which disqualification checks were completed.' It is the policy of the trust to hold this information on the Single Central Record. The relevant guidance can be found at <https://www.gov.uk/government/publications/disqualification-under-the-childcare-act-2006>. Schools are advised to read the guidance to determine which staff members are covered by the regulations.
- h. In order to comply with the Childcare disqualification check requirement, schools are responsible for issuing the Declaration of Disqualification questionnaires every October. The annual 'compulsory' questionnaire must be issued to all staff/volunteers who fulfil the criteria, and the annual 'request' questionnaire must be issued to the remaining staff/volunteers. Schools must ensure that the completed 'compulsory' questionnaires are returned and logged on the SCR. All Declaration of Disqualification questionnaires must be destroyed after a maximum period of 6 months. The Driving Policy Declaration is issued with the Declaration of Disqualification. The Driving Policy Declaration must be logged on the SCR, placed in a sealed envelope and filed in the personnel file.

28. Identity Checks

- a. Heads/CEO and LGCs/Trust Board must be certain that the person they plan to employ is the person that they claim to be. Photographic evidence that includes a date of birth and address (passport/photo driving licence etc.) is

the most suitable form of identification. The identity check should be completed at the interview and new staff should be required to bring all outstanding identification documentation on the day they commence work at the school, at the latest. If no photographic evidence is available, documentation from the DBS approved ID list can be utilised.

- b. The school should sign, date and keep a copy of the documents used to verify identity on the successful candidate's personnel file and log the details on the SCR.
- c. Where an individual is provided by a supply agency, or third-party organisation, schools must confirm that the individual reporting for work at the school is the individual that the agency intends to refer to them. Anyone arriving at school to do supply work should be asked to produce photographic ID for checking. (See section 30 – 33 for further information).

29. Proof of Right to Work in the UK

- a. It is a criminal offence for an employer to employ someone who does not have the right to work in the UK or undertake the type of work on offer. The GOV.UK website provides an interactive tool to determine an individual's right to work in the UK, and guidance for employers including lists of acceptable documents to prove the right to work in the UK, such as EU Passport, birth certificate, biometric residence permit, work permit etc. Schools must check this proof before the employee starts work and should take a photocopy to be retained on file, which they must sign and date, verifying that they have seen the original document. The documents must be added to the SCR.

30. Offers of Employment

- a. If any pre-employment checks are unsatisfactory, the Head/CEO must decide if the conditional offer of employment should be withdrawn in consultation with the Trust's HR Advisors. Occasionally this may be a clear and obvious decision but, in some cases, the decision may need to take account of a range of factors and a risk assessment which includes legal advice will need to be followed.
- b. Where criminal offences are disclosed or concerns about the individual's fitness to carry out the role, carrying out a risk assessment can help decide about suitability. Where a school is considering withdrawing an employment offer, it is recommended that HR advice is sought.
- c. Following an offer of employment, a statement of terms and conditions of employment will be sent to the candidate by their first day of employment, from Pickwick Academy Trust's central HR department detailing the terms of their employment. Wherever possible employment checks should be completed, and the Head of School satisfied with the information received before the statement is issued.

- d. Offers of employment may be made conditional upon:
- Receipt of an enhanced disclosure from the Disclosure and Barring Service (with barred list, if applicable).
 - Any good conduct certificates from overseas countries as required by the school, that show that the individual is not barred from working with children.
 - That the individual is not subject to a direction under the Safeguarding Vulnerable Groups Act 2006 or a direction under section 142 of the Education Act 2002 which prohibits, disqualifies or restricts them from working at a school or in a position which involves regular contact with children.
 - That the individual is not disqualified from providing childcare in connection with early or later years provision or from being directly involved in its management pursuant to the Disqualification under the Childcare Act 2006 (revised August 2018).
 - That the individual is not subject to a s128 direction (management posts)
 - Verification of medical fitness.
 - Verification of qualifications and identity.
 - Confirmation of right to work in the UK.
 - Satisfactory references received (at least two) i.e. that are satisfactory to the Head/CEO.
 - Such other pre-employment checks as the school is required to complete in accordance with its statutory or regulatory obligations.
 - Teaching staff who are ECTs - Successful completion of the statutory induction year.
 - Teaching staff who are more experienced - verification of completion of the statutory induction period.
- e. Please refer to the New Employee Checklist to ensure all relevant steps have been taken for new employees.

31. Existing staff

- a. If a member of staff moves from a post that was not regulated activity to one that is, the relevant checks must be carried out.
- b. New checks must also be completed if a staff member has a break of service of 12 weeks or more.
- c. The recruitment panel will carry out further checks where there is a concern about a member of staff's suitability to work with children. An investigation will be carried out to gather enough evidence to establish if an allegation has a

foundation. The employer of the school will ensure they have sufficient information to meet the referral duty criteria below.

- d. The school will refer to the DBS anyone who has harmed, or poses a risk of harm, to a child or vulnerable adult where:
 - The harm test is satisfied in respect of that harm.
 - The individual has received a caution or conviction for a relevant offence, or if there is a reason to believe that the individual has committed a listed relevant offence.
 - The individual is deployed to another area of work not in regulated activity, or where they have been suspended.
- e. Referrals to the DBS will be made on conclusion of an investigation where an individual has been removed from regulated activity.
- f. Referrals to the DBS will be made as soon as possible after the resignation, removal or redeployment of the staff member.

32. Supply Staff and Agency Staff

- a. Supply staff should be checked by the agency who represents them or introduces them to the school. The agency must confirm that relevant checks, including a DBS and barred list check where appropriate has been requested and received.
- b. The agency should also be requested to confirm the outcome from the check and whether the check was complete with 'no content' (which means that the check is clear), or the check was 'complete with content' (which means the check is not clear). Where there is content on the certificate, the school must obtain a copy from the agency prior to the assignment taking place. It is for the school to decide whether to accept the agency worker.
- c. The school is responsible for ensuring they hold a covering letter from the employment agency confirming that they carried out the relevant checks and obtained the appropriate certificates. In addition, all Supply Staff must provide identification when they arrive at the school. The checks must be logged on the SCR (see section 39 for further information).
- d. Schools should always check the identity of supply staff on arrival at school, ensuring that the individual who presents for work is the same person on whom any checks have been completed.

33. Trainee Teachers

- a. Where applicants for initial teacher training are salaried by the school or college, the school or college must ensure that all necessary checks are carried out. As trainee teachers are likely to be engaging in regulated activity,

an enhanced DBS certificate (including barred list information) must be obtained.

- b. Where trainee teachers are fee-funded it is the responsibility of the initial teacher training provider to carry out the necessary checks. Schools should obtain written confirmation from the training provider that these checks have been carried out and that the trainee has been judged by the provider to be suitable to work with children.
- c. There is no legal requirement for the school to record details of fee-funded trainees on the single central record.

34. Contractors and Alternative Provision Providers

- a. Schools and colleges should ensure that any contractor, or any employee of the contractor, who is to work at the school has been subject to the appropriate level of DBS check. Contractors engaging in regulated activity will require an enhanced DBS certificate including a barred list check.
- b. For all other contractors who are not engaging in regulated activity, but whose work provides them with an opportunity for regular contact with children, an enhanced DBS check (not including barred list information) will be required. In considering whether the contact is regular, it is irrelevant whether the contractor works on a single site or across a number of sites.
- c. Under no circumstances should a contractor in respect of whom no checks have been obtained be allowed to work unsupervised or engage in regulated activity. Schools are responsible for determining the appropriate level of supervision depending on the circumstances.
- d. Schools should log the confirmation letter confirming that the contractor has carried out the relevant checks and obtained the appropriate certificates, on the SCR.
- e. If a contractor working at a school or college is self-employed, the school should consider obtaining the DBS check, as self-employed people are not able to make an application directly to the DBS on their own account.
- f. Schools should always check the identity of contractors and their staff on arrival at school, ensuring that the individual who presents for work is the same person on whom any checks have been completed.
- g. When a school places a pupil with an alternative provision provider they must obtain written confirmation that all appropriate safeguarding checks have been carried out on those working at the establishment.

35. Governors, Trustees and Members

- a. Safeguarding checks must be carried out on all Members, Trustees and Governors of individual schools. Before an individual becomes involved in the work of the Trust of the school, the Chair of Trustees must receive confirmation that:
 - An enhanced DBS check has been carried out where relevant, and where such a check is made, obtain an enhanced DBS check certificate (either including or excluding barred list information as appropriate).
 - A Section 128 check has been completed to confirm that they are not prevented from taking part in the management of a school or trust.
 - Confirmation of the individual's identity has been completed.
 - Any further checks that are considered appropriate, in light of the individual previously living overseas, have been completed.
- b. The school will retain copies of the Right to Work in the UK checks and identity/address checks in a confidential Governor and Trustee folder.

36. Volunteers

- a. Volunteers should be subject to a similar recruitment/pre-employment process as paid workers, including any further checks that are considered appropriate, in light of the individual previously living overseas.
- b. Volunteers who on an **unsupervised** basis teach or look after children regularly or provide personal care on a one-off basis in schools will be in regulated activity. The school should obtain an enhanced DBS certificate (which should include barred list information) for all volunteers who are new to working in regulated activity. Personal care includes helping a child with eating and drinking for reasons of illness, or in connection with toileting, washing, bathing and dressing for reasons of age, illness or disability.
- c. Existing volunteers in regulated activity do not have to be re-checked if they have already had a DBS check (which includes barred list information). However, schools may conduct a repeat DBS check (which should include barred list information) on any such volunteer should they have concerns.
- d. Schools/the Trust may obtain an enhanced DBS certificate (not including barred list information), for volunteers who are not engaging in regulated activity, but have the opportunity to come into contact with children on a regular basis, e.g. supervised volunteers.
- e. Schools/the Trust should undertake a risk assessment (Appendix 6) and use their professional judgement and experience when deciding whether to seek an enhanced DBS check for 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.
- f. If a school/the Trust undertakes a risk assessment when deciding whether to obtain an enhanced DBS certificate for a volunteer, section 1 from the risk assessment (Appendix 6) should be retained in a sealed envelope, filed in the volunteer folder and logged on the SCR. The Disqualification Section (section 2) must be detached from the risk assessment and passed to HR. HR will destroy the Disqualification Section after a maximum period of 6 months.
- g. The Protection of Freedoms Act 2012 amended the Safeguarding Vulnerable Groups Act 2006, removing supervised volunteers from regulated activity and applying a duty on the Secretary of State to issue guidance to assist regulated activity providers such as schools and colleges, to decide what level of supervision is required so that this exclusion would apply.
- h. If the volunteer is to be supervised while undertaking an activity, which would be regulated activity if it was unsupervised, the statutory guidance must be followed.
- i. The guidance issued following this change requires that:
- There must be supervision by a person who is in regulated activity.
 - The supervision must be regular and day to day.
 - The supervision must be “reasonable in all the circumstances to ensure the protection of children”.
- j. The DBS cannot provide barred list information on anyone who is not in regulated activity.
- k. Please see Pickwick Academy Trust Volunteer and Intern Policy for more information relating to volunteers.

37. Work Experience Placements

- a. If the school is organising work experience placements, the school will ensure that the placement provider has policies and procedures in place to protect children from harm.
- b. Barred list checks by the DBS might be required on some people who supervise and are in regular contact with a child under the age of 16 on a work experience placement. In such cases, the school will consider the specific circumstances of the work experience. Consideration will be given in particular to the nature of the supervision and the frequency of the activity being supervised, to determine what, if any, checks are necessary. These considerations will include whether the

person providing the teaching/training/instruction/supervision to the child on work experience will be:

- Unsupervised themselves.
 - Providing the teaching/training/instruction/supervision frequently (more than three days in a 30-day period or overnight).
- c. Where a child, aged 16 years or over, is completing work experience at a school and gives opportunity for contact with children, consideration should be given to whether an Enhanced DBS check should be requested.
- d. Further information is provided in [Work experience and related activities in schools and colleges - GOV.UK \(www.gov.uk\)](http://www.gov.uk)

38. Induction

- a. All new starters, permanent or temporary, must have an induction programme – please see Pickwick Academy Trust Induction Policy. Equally, volunteers and contract staff should be appropriately introduced to the school.
- b. The content and nature of the induction will be specific to the role and the previous experience of the new member of staff or volunteer. The purpose of an induction programme following successful recruitment is to:
- Help the new employee to settle quickly in the job.
 - Understand the Trust's structure, ethos, direction and expectations to ensure children receive high quality education and development.
 - Demonstrate the importance the school attaches to the individual's development.
 - Provide training and information about policies and procedures.
 - Reinforce the school's commitment to safeguarding all pupils/students.
 - Support individuals appropriately.
 - Confirm code of conduct and expectations (Professional Expectations of Staff to include visitors, volunteers and students) and provide examples of behaviour that would not be acceptable.
 - Provide opportunities for new member of staff to ask questions and raise concerns.
 - Enable the individual's line manager or mentor to recognise any concerns or issues about the person's ability or suitability at the outset and address them immediately.

39. Probation Period

- a. Please refer to the Pickwick Academy Trust Induction Policy for information regarding the Trust's probation period rules and procedure.

40. The Single Central Record

- a. The Head/CEO must ensure a single central record (SCR) is kept in school, referred to in the regulations (described in the following paragraph) as 'the register'. The SCR should be kept in electronic format and must be password protected with restricted access. The single central record must cover the following people:
 - All staff (including supply staff, and teacher trainees on salaried routes) who work at the school; and
 - All members of the proprietor body. This means the Members and Trustees of Pickwick Academy Trust and the governors of the Local Governance Committees.

- b. The information that must be recorded in respect of staff members (including teacher trainees on salaried routes) is below (this list is not exhaustive, please ask HR for a copy of the Pickwick Academy Trust SCR template). The SCR should specify if checks have been carried out or certificates obtained, the date on which each check was completed/certificate obtained and who completed the checks:
 - An identity check.
 - A barred list check.
 - An enhanced DBS check/certificate.
 - A prohibition from teaching check.
 - A section 128 check if involved with managing the school.
 - Further checks on people who have lived or worked outside the UK
 - A check of professional qualifications; and
 - A check to establish the person's right to work in the United Kingdom.

- c. For supply staff, schools should log the covering letter confirming that the employment agency supplying the member of supply staff carried out the relevant checks and obtained the appropriate certificates, on the SCR. The date the confirmation was received and the enhanced DBS certificate check (with barred list check, where applicable) should also be logged on the SCR. All checks including whether a DBS certificate was viewed and what documents confirming the person's identity were viewed and verified should also be logged on the SCR.

- d. Where checks are carried out on volunteers, schools should record this on the single central record.

- e. For contractors, schools should log the covering letter confirming that the company confirming that the relevant checks have been completed, on the SCR.

- f. For details of records that must be kept, see Part 4 of the Schedule to the Education (Independent School Standards) Regulations 2014.

- g. Schools do not have to keep copies of DBS certificates to fulfil the duty of maintaining the single central record. To help schools comply with the requirements of the General Data Protection Regulations, where a school chooses to retain a copy, they should not be retained for longer than six months. A copy of the other documents used to verify the successful candidate's identity, right to work and required qualifications should be kept on file.
- h. Further information on handling DBS certificates can be found on GOV.UK.

41. Personnel Files

- a. An individual personnel file should be created for each new employee. Files should be created by the school administrator, and include information passed on by HR from the recruitment process.
- b. Files must be kept confidentially, in a locked cabinet with limited access, monitored by the Head/CEO.
- c. Files should contain: -
 - Application form
 - Interview notes and scoring sheets
 - Job Description
 - Offer Letter
 - New starter form
 - References
 - Copies of qualifications
 - Proof of Right to Work in the UK
 - Proof of identity checks having been made (including proof of current address)
 - New Employee Checklist completed with DBS information recorded
 - Signed contract of employment
 - Work Health Assessment & Declaration, checked by the Head of School and filed in a sealed envelope
 - Copy of Teachers Services (Secure Access) page for teaching staff and support staff who were teachers and are working in a role supporting children e.g. teaching assistants
 - Work permit information, if applicable
 - QTS certificate, Teacher Reference Number recorded, copy of qualifications
 - Induction paperwork and relevant signed policies
 - Probation period review form
 - Any subsequent employee paperwork should be added to the individual file throughout employment

- d. The Pickwick Academy Trust process is to remove the paper copy of the DBS from individual files after a maximum period of 6 months to comply with GDPR legislation; ensuring the certificate number, date of issue and issuing body are recorded on the New Employee Checklist and on the Single Central Record.
- e. A Self-Declaration of Criminal Record form, or equivalent question responses from the interview, must be held separately from the personnel file and destroyed after a period of 6 months,

42. Equal Opportunities

- a. The Trust is committed to equality of opportunity for all. Our staff are encouraged to demonstrate their commitment to equality by acting to eliminate discrimination and promote equality of opportunity.
- b. When recruiting, the school will adhere to its Equal Opportunities and Dignity at Work Policy. The school will not discriminate against any protected characteristics, such as disability or gender, and will always promote difference and inclusion throughout the school.
- c. The recruitment and selection process should be applied fairly and consistently to all those applying for positions within the Trust regardless of gender, race, marital status, national or ethnic origin, nationality, disability, sexuality, sexual orientation, age, religion, trade union membership / non-membership, status or number of hours worked.
- d. The school/Trust will, where necessary, make reasonable adjustments to ensure the interview is accessible to all candidates. Candidates should inform the school of any reasonable adjustments that they need when they receive the invitation for an interview.
- e. Candidates will not be asked about their health or any disabilities before a job offer is made, unless one of the following exemptions applies:
 - Questions necessary to establish if an applicant can perform an intrinsic part of the job (subject to reasonable adjustments).
 - Questions to establish if an applicant is fit to attend an assessment or any reasonable adjustments that may be needed at interview or assessment.
 - Positive action to recruit people with disabilities.
 - Equal opportunities monitoring (which will not form part of the decision-making process).

43. References, acknowledgements and associated documents

- a. This policy has due regard to all relevant legislation including, but not limited to, the following:
 - Children Act 1989 and 2004

- Safeguarding Vulnerable Groups Act 2006
 - The Education (School Teachers' Appraisal) (England) Regulations 2012 (as amended)
 - Sexual Offences Act 2003
 - The School Staffing (England) Regulations 2009
 - Rehabilitation of Offenders Act 1974
 - Education and Skills Act 2008
 - Data Protection Act 2018
 - The General Data Protection Regulation (GDPR)
 - Education Act 2002
 - Equality Act 2010
- b. This policy has due regard to guidance including, but not limited to, the following:
- DfE 'Keeping children safe in education'
 - DfE ('Staffing and employment advice for School')
 - DfE 'Governance Handbook'
- c. This policy operates in conjunction with the following school policies and procedures:
- Child Protection and Safeguarding Policy
 - Single Central Record Policy
 - DBS Policy
 - Records Management Policy
 - Data Protection Policy
 - Equal Opportunities Policy
 - Induction Policy
 - ECT Policy

44. Appendices

- a. Appendix 1: The Recruitment Procedure
- b. Appendix 2: Staffing Control Sheet
- c. Appendix 3: Shortlisting Evaluation Grid Application Stage
- d. Appendix 4: Interview Form including questions.
- e. Appendix 5: Example questions designed to examine an interviewee's attitude toward safeguarding children
- f. Appendix 6: New starter risk assessment if DBS not back by start date
- g. Appendix 7: Risk assessment for a positive disclosure
- h. Appendix 8: KCSiE – Flowchart of Disclosure & Barring Service criminal record checks and barred list checks

Appendix 1 - The Recruitment Procedure



Recruitment Process

In summary the main elements of the process are (please see the Recruitment Policy for more detailed information):

Recruiting Line Managers please note:

When a new employee is recruited, it is a legal requirement that the contract must be issued on or before the first day of work. Please therefore ensure that HR have enough time to issue the contract and new starter forms etc. and the school admin teams have enough time to complete the safer recruitment checks before you agree a start date.

If you wish to advertise in the Wiltshire Council Bulletin the deadline for receipt of advertisement request is Tuesday 12pm to allow for a draft to be approved and the advert sent to Wiltshire Council. Requests received after this time will be placed on the Wiltshire Council Bulletin for the following week.

	Task	Completed by	Date
1.	<p>STAFF RECRUITMENT ADVERTISEMENT REQUEST FORM – Part A</p> <p>The Line Manager (or member of school team on their behalf) must complete part A of the Staff Recruitment Advertisement Request Form and pass it to Finance Manager.</p> <p>Please Note:</p> <ul style="list-style-type: none"> - <i>A gap of two weeks MUST be retained between the closing date and the interview date to ensure that all safer recruitment deadlines are complied with.</i> - <i>(Should a school need to turn the process round in a quicker time, to meet teacher resignation deadlines for example, responsibility for obtaining references will fall to the school.)</i> - Details of the Safeguarding responsibilities of the role must be provided and detailed on the advertisement, job description and person specification in line with KCSIE 2021. - <i>The advertisement template will confirm that the post is exempt from the Rehabilitation of Offenders Act 1974 and amendments to the Exceptions Order 1975, 2013 and 2020.</i> 		

2.	<p>STAFF RECRUITMENT ADVERTISEMENT REQUEST FORM – Part B</p> <p>Finance Manager must complete part B of the Staff Recruitment Advertisement Request Form and pass it to CEO/ Business or Finance Director for approval.</p>		
3.	<p>STAFF RECRUITMENT ADVERTISEMENT REQUEST FORM – Approval</p> <p>CEO/ Business Director or Finance Director will approve request and pass the form to the HR and Recruitment Department. <i>(All schools within the Trust are required to obtain authority to recruit to a newly created post or to a post that exists within the school’s staffing structure but has become vacant).</i></p>		
4.	<p>ADVERTISEMENT, JOB DESCRIPTION AND PERSON SPECIFICATION APPROVAL</p> <p>The HR and Recruitment Department will provide the Line Manager with a draft copy of the advertisement, job description and person specification for them to approve. <i>(A gap of two weeks must be retained between the closing date and the interview date to ensure that all safer recruitment deadlines are complied with and second referees have time to respond before interview).</i> <i>Should a school need to turn the process round in a quicker time, to meet teacher resignation deadlines for example, responsibility for obtaining references will fall to the school.</i></p>		
5.	<p>ADVERTISEMENT PLACEMENT</p> <p>The HR and Recruitment Department will place the advertisement on Indeed and GOV.UK for teaching vacancies and in the Wiltshire/ Dorset Bulletins if requested and will diarise the closing date.</p>	HR and Recruitment Department	
6.	<p>ADVERTISEMENT AND DOCUMENTS SENT TO SCHOOL</p> <p>The HR and Recruitment Department will email the advertisement and supporting documents listed in the Recruitment Pack (see section 7 of the Recruitment Policy for further information) to the recruiting school to add to their website. <i>Please ensure that the Child Protection Policy and the relevant appendix from the trust Safer Recruitment policy on the recruitment of ex-offenders either form part of the information in the vacancies section on the website or that there is a clear link to the policy on the website. Please ensure that examples of reference request forms are also shared as part on the vacancies section on the school website.</i></p>	HR and Recruitment Department	

7.	<p>APPLICATION FORMS RECEIVED</p> <p>The HR and Recruitment Department will collate all application forms, remove the monitoring forms and send them to the recruiting line manager or where possible save them on a saved drive with restricted access.</p>	HR and Recruitment Department	
8.	<p>SHORTLISTING</p> <p>The recruiting Line Manager must shortlist. At least two people should carry out shortlisting, ideally independently of each other and these two people should form part of the interview panel. Please ensure that you consider inconsistencies, gaps of employment and explore all potential concerns. (A template for the 'Shortlisting Evaluation Grid Application Stage' is provided in the Recruitment Section of the HR Handbook). <i>Please can you ensure that your shortlisting list is returned within 2 days of the closing date, unless there are extenuating circumstances. This allows sufficient time for all selected candidates to be contacted and references to be requested and received prior to interview to ensure compliance with Safer Recruitment requirements.</i></p>		
9.	<p>INTERVIEW REQUEST FROM</p> <p>The recruiting Line Manager must contact HR and confirm who they would like to interview. Please complete the HR INTERVIEW REQUEST FORM. <i>A gap of two weeks MUST be retained between the closing date and the interview date to ensure that all safer recruitment deadlines are complied with and references are received prior to interview.</i> <i>Should a school need to turn the process round in a quicker time, to meet teacher resignation deadlines for example, responsibility for obtaining references will fall to the school.</i></p>		
10.	<p>INVITATION TO INTERVIEW</p> <p>The HR and Recruitment Department will invite the shortlisted applicants to interview.</p> <ul style="list-style-type: none"> - A Self-Declaration of Criminal Record form will be attached to the invite to interview letter or email. The candidate must complete and return the form in person when they attend the school for interview or via password protected email, if the interview is conducted online. - <i>Should an electronic signature be provided prior to interview, a hard copy must be signed at the point of interview.</i> <p>(The school must hold the Self- Declaration of Criminal Record forms securely and destroy them after 6 months.)</p>	HR and Recruitment Department	

<p>11.</p>	<p>REFERENCE REQUEST</p> <p>The HR and Recruitment Department will request 1 professional reference on receipt of shortlisting for external candidates and one professional reference for an internal candidate. Once an invitation to interview is accepted the second reference for an external candidate will be requested. One reference will always be requested on receipt of shortlisting.</p>	<p>HR and Recruitment Department</p>	
<p>12.</p>	<p>UNSUCCESSFUL CANDIDATES</p> <p>The HR and Recruitment Department will contact the applicants who were unsuccessful via email</p>	<p>HR and Recruitment Department</p>	
<p>13.</p>	<p>INTERVIEW PREPARATION</p> <p>The recruiting Line Manager must prepare interview day, tasks, tests, questions, rooms etc. Ensure you have a list of any discrepancies that you wish to follow up with a candidate at interview.</p>		
<p>14.</p>	<p>INFORMATION FOR INTERVIEW</p> <p>The HR and Recruitment Department will pass all relevant information such as references to the recruiting Line Manager prior to the interview. Please contact a referee if the information provided is vague or insufficient. Please ensure that you compare information provided on the reference with that on the application form and follow up any inconsistencies with the referee. Keep a written record of phone conversations and follow up with an email to clarify points discussed.</p>	<p>HR and Recruitment Department</p>	

<p>15.</p>	<p>INTERVIEW</p> <p>The interviews will be conducted at the school/ central office or via an online platform. A template which ensures all key areas are covered is provided in the Recruitment Section of the HR Handbook - Interview Form including questions.</p> <p>Ensure that the application form is signed or request if not. Check identity and right to work documentation (e.g. passport)</p> <p>Ensure questions are open and explore skills, experience, gaps in employment, reason for decision to work with children and potential areas of concern such as variances between the information provided on the application form and that received from a referee.</p> <p>Involve pupils if relevant.</p> <p><i>At least one of the people who will conduct the interview must have completed safer recruitment training.</i></p> <p><i>Please ensure that you have received the Self-Declaration of Criminal Record form from the candidate or, if not, please ensure that the additional questions provided on the copy of the Interview Form are asked at the interview.</i></p> <p>Record all information considered in decision making clearly.</p>		
<p>16.</p>	<p>SUCCESSFUL CANDIDATE</p> <p>The recruiting Line Manager must contact the successful candidate via telephone and:</p> <ul style="list-style-type: none"> - offer the position, subject to the receipt of 2 references which are satisfactory to the Trust and show that you will meet the skills and ways of working, which we have highlighted as important for the role; satisfactory Work Health Assessment; documentation to establish your Right to work in the UK; proof of your identity and current address; satisfactory results of an Enhanced Disclosure (with barred list check if working in regulated activity); Certificate of Good Conduct if you have worked or lived abroad for 3 months or more in the last 5 years. - confirm a start date, where possible. 		

<p>17.</p>	<p>SUCCESSFUL CANDIDATE FORM</p> <p>The recruiting Line Manager must contact HR and confirm the details, which should include the successful candidate's details, the start date, the grade and salary and any other relevant information.</p> <p>Please use the HR SUCCESSFUL CANDIDATE FORM – EXTERNAL APPOINTMENT for new employees.</p> <p>Please use the HR SUCCESSFUL CANDIDATE FORM – INTERNAL APPOINTMENT when an existing employee moves to a new role.</p> <p>Please ensure that the start date is provided on the appointment form and that a gap of two weeks is provided to allow all references to be received, a contract to be compiled and all safer recruitment checks to have been completed before the person starts at school. It is against the rules of KCSIE and Safer Recruitment to allow employees to start without these checks, and it is a legal requirement that a contract must be in place.</p>		
<p>18.</p>	<p>UNSUCCESSFUL INTERVIEW CANDIDATES</p> <p>The recruiting Line Manager will contact the unsuccessful candidates who were interviewed, via telephone and provide feedback.</p>		
<p>19.</p>	<p>OFFER LETTER, FORMS AND NEW EMPLOYEE CHECKLIST</p> <p>The HR and Recruitment Department will send the offer letter, contract and new starter forms to the successful candidate and will complete the HR section of the New Employee Checklist. This will then be passed to the recruiting school or department.</p> <p>A quick Secure Access check on name only is completed by HR for all Teachers and Support Staff who were teachers in order to compile a contract.</p>	<p>HR and Recruitment Department</p>	
<p>20.</p>	<p>NEW EMPLOYEE CHECKLIST – SCHOOL SECTION</p> <p>The recruiting Line Manager or Admin Officer must complete the School section on the New Employee Checklist</p> <p>Once the employee checklist has been sent to a school by HR the responsibility for chasing the second reference falls to the school, if not already received. All references must be received within a month of the new employee starting at the school.</p> <p>A full Secure Access check must be completed by the school Admin team on all staff who are teachers or previously had a career as a teacher and this information stored on their personnel file.</p>		

<p>21.</p>	<p>PERSONNEL FILE</p> <p>The School/ Department must add the successful candidate's application form and interview assessment sheets to the personnel file. (The Equality & Diversity Monitoring Form will be detached from the application and will remain with HR. The form will be destroyed after 6 months.)</p>		
<p>22.</p>	<p>SELF-DECLARATION OF CRIMINAL RECORD FORM</p> <p>The School/ Department must remove the successful candidate's Self-Declaration of Criminal Record Form and the relevant conviction question section on the Interview Form, if it was used to answer the conviction questions during the interview, because the candidate didn't return their Self-Declaration of Criminal Record Form. Criminal conviction information must not be placed in the personnel file.</p>		
<p>23.</p>	<p>UNSUCCESSFUL CANDIDATES INFORMATION</p> <p>The School/ Department must destroy all recruitment paperwork relating to unsuccessful candidates after 6 months.</p> <p>The School/ Department must hold the Self-Declaration of Criminal Record forms securely and destroy them after 6 months.</p> <p>The Equality & Diversity Monitoring Form will be detached from the application and will remain with HR. The form will be destroyed after 6 months.</p>		
<p>24.</p>	<p>INDUCTION AGENDA</p> <p>The Induction Introduction Agenda meeting should be completed by the recruiting Line Manager as soon as possible after the employee starts work. The new employee must sign and return the policies to the admin team. The signed policies must be filed in the personnel file. Please refer to the Induction Policy for more information.</p>		
<p>25.</p>	<p>INDUCTION CHECKLIST</p> <p>The Induction Checklist must be completed by the employee's Line Manager. The new employee must sign and return the induction checklist to the admin team, where it will be filed in the personnel file. Please refer to the Induction Policy for more information.</p> <p>Please ensure that all new staff members receive Health and Safety and GDPR training as part of their induction.</p>		

<p>26.</p>	<p>PROBATION PERIOD</p> <p>The Admin Officer must invite the employee to their 3-month probationary review meeting.</p> <p>This meeting must be conducted before the 3-month date or will have been deemed to pass in the eyes of the law.</p> <p>Please use the probation paperwork to complete this meeting.</p>		
<p>27.</p>	<p>PROBATIONARY REVIEW MEETING</p> <p>The Line Manager must complete the probationary review meeting and ensure the paperwork is filed in the personnel file.</p>		

Appendix 2 - Staffing Control Sheet

PICKWICK ACADEMY TRUST

SCHOOL:

15. STAFFING CONTROL SHEET

Change to Existing Employees hours OR Grade OR New Appointment (Delete as appropriate)	
Post Description:	
Permanent or Fixed Term:	
Start Date:	End Date (if Fixed Term):
To be completed by Finance Manager	To be completed by Finance Manager
Cost in current year £	Future year (if permanent)
Budget in current year £	Full Year Cost £
Please ensure NI and employer pension contributions are included	Full year budget £
Please ensure NI and employer pension contributions are included	Please ensure NI and employer pension contributions are included
If the change is supported by any additional income in the current year please state amount below:	If the change is supported by any additional income in a future year please state amount below:
Income in current year £	Income in future year £
Will the change lead to the current budget for this category of staff being overspent YES/NO	
If Yes what steps are being taken to address this:	
Signed:	Dated:
Head of School/ Executive Headteacher	
Authorised:	Dated:
CEO/ Business Director	

TOTAL SCORE						
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Additional Information:

Completed By:

Date:

Appendix 4 - Interview Form including questions.

INSERT JOB TITLE:

Applicant Name:

Interview conducted INSERT DATE

Assessed by A =Application Form, I = Interview

Scores 0 = Not Met, 1 or 2 = Partially Met, 3 to 4 Fully Met

Interview Questions	A/I	0	1	2	3	4
1) Tell us about yourself and why are you interested in this job?						
2) INSERT questions relevant to the role						
3) At least one safeguarding question must always be asked (a list of example questions is available in Appendix 5 in the Recruitment Policy) e.g. If a child told you some information of a safeguarding nature, what would you do?						
4) If you are successful, when would you be available to start?						

5) Do you have any questions to ask us?						
TOTAL SCORE						
<p>Also discuss:</p> <ul style="list-style-type: none"> - Holidays cannot be taken during term time - At the end of the interview, ask if the person is still a firm candidate for the role of <p>Stipulate that our offer of employment is subject to the following: -</p> <ul style="list-style-type: none"> - the receipt of 2 references which are satisfactory to the Trust and show that you will meet the skills and ways of working, which we have highlighted as important for the role; - satisfactory Work Health Assessment; - documentation to establish your Right to work in the UK; - proof of your identity and current address; - satisfactory results of an Enhanced Disclosure (with barred list check if working in regulated activity) - Certificate of Good Conduct if you have worked or lived abroad for 3 months or more in the last 5 years. 						

Additional Information:

Completed By:

Date:

If the candidate didn't return their completed Self-Declaration of Criminal Record form at the interview, you must ask the questions below.

Please keep these questions on a separate detachable sheet because relevant conviction questions must be stored securely and destroyed after 6 months.

INSERT JOB TITLE:

Applicant Name:

Interview conducted INSERT DATE

The following questions must be asked to a candidate who has not returned their Self Declaration of Criminal Record Form:

<p>For posts in regulated activity, the DBS check will include a barred list check. Have you been barred from working in regulated activity with children (i.e. are you included on the Disclosure and Barring Service Children’s Barred List):</p> <p>Yes / No</p>	<p>Yes/ No Further information:</p>
<p>Are you subject to a teacher prohibition order, or an interim prohibition order, issued by the secretary of state, as a result of misconduct:</p> <p>Yes / No</p>	<p>Yes/ No Further information:</p>
<p>In line with Ministry of Justice Guidance, do you have any spent convictions that are not protected as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (Amendment) (England and Wales) Order 2020?</p>	<p>Yes/ No Further information:</p>

Yes / No	
<p>Do you have any unspent convictions in a Court of Law?</p> <p>Yes / No</p>	<p>Yes/ No</p> <p>Further information:</p>
<p>Do you have any unspent conditional cautions?</p> <p>Yes / No</p>	<p>Yes/ No</p> <p>Further information:</p>
<p>Do you have any adult cautions (simple or conditional)?</p> <p>Yes / No</p>	<p>Yes/ No</p> <p>Further information:</p>

Completed By:

Date:

Please refer to <https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974> for further information regarding the new filtering rules for DBS certificates (from 28 November 2020 onwards) and clarification of what convictions must be declared.

This form must be stored securely and destroyed after 6 months if it was used to answer the relevant conviction questions during the interview because the candidate didn't return their Self Declaration of Criminal Record Form. Criminal conviction information must not be placed in the personnel file.

Please contact the HR Officer if any of the answers were 'yes'.

Appendix 5 - Example questions designed to examine an interviewee's attitude toward safeguarding children

The following example questions are from the public version of the NCSL online training;

- a. What attracted you to teaching/this post/at this school/with this Trust?
- b. How do you think your own childhood may have influenced your own practice?
- c. What motivates young people?
- d. Tells us about your interests outside work.
- e. What do you think are the professional challenges facing teachers today?
- f. Give an example of where you have had to deal with bullying behaviour between pupils?
- g. What did you do? What made it successful? How could you have dealt with it differently?
- h. Young people can develop crushes. How would you deal with this if a pupil developed a crush on you?
- i. What would you do if you were concerned about a colleague's behaviour towards children?
- j. Give an example of how you have managed poor pupil behaviour?
- k. Give an example of how you have responded to challenging behaviour? How did it affect you emotionally? How did you cope with the aftermath?
- l. When do you think it is appropriate to physically intervene in a situation involving young people? Have you ever had to do this?
- m. What makes a school a safe and caring place?
- n. What policies are important to support a safe environment?
- o. What are staff's responsibilities in protecting children?
- p. How do you define an appropriate teacher (or school secretary/ LSA etc.) pupil relationship?
- q. Give examples of what you would consider to be appropriate and inappropriate behaviour between/toward staff and pupils.

- r. Have allegations ever been made about you at work? What were the circumstances?
- s. What was the outcome? What did you learn from this?

Other questions you could ask are

- a. Tell us what you have done in the last 12 months to improve child protection in your school. How did this action arise? Who did you talk to? What were the results?
- b. Give me an example of when you have had safeguarding concerns about a child? What did you do? Who did you involve? What was the outcome?
- c. Tell us about a situation which you felt fell short of acceptable safeguarding standards. How did it arise? Who did you speak to? What actions did you take?
- d. Tell us about how you have dealt with a child with 'difficulties'?
- e. What are your feelings about children who make allegations against teachers or staff?

Follow up questions

Some of these questions will need following up:

For example, how do you define an appropriate teacher (or school secretary/ LSA etc.) pupil relationship?

Could be followed up by:

So, can you explain how you have ensured in your previous role that you have modelled this relationship? Were there times when boundaries were blurred? How did you manage this? Who did you involve? What have you learnt from this?

By asking a follow up question you start to unpick the initial answer and investigate the validity of the answers. By using other tests and assessments activities you can increase the level of confidence you have when making the final selection decision.

Appendix 6 - New starter risk assessment if DBS not back by start date

New Starter Risk Assessment if DBS not back by start date

The Head/CEO is responsible for carrying out the risk assessment of an employee or volunteer where they are due to start before DBS clearances are received. The Head/CEO must consider his/her duties in respect of safeguarding, noting the statutory guidance Keeping Children Safe in Education.

Keeping Children Safe in Education states:

Where a school or college allows an individual to start work in regulated activity before the DBS certificate is available, they should ensure that the individual is appropriately supervised and that all other checks, including a separate barred list check, have been completed.

The Head/CEO should therefore check whether the employee is on the barred list at the time this risk assessment is completed.

In all cases:

- Contact HR to discuss if any information was disclosed on the Disclosure and Barring and Childcare Disqualification Form. This form is detached from the application form and retained by HR. The form will be retained for a maximum period of 6 months
- HR must be made aware of the risk assessment being carried out before the employee start date is agreed.
- No employee will be set up as a starter until a copy of the risk assessment has been completed and logged on the SCR.
- Risk Assessment procedure - if a DBS certificate has been requested:
 - Section 1 and Section 2 must be completed.
 - The risk assessment (Section 1) must be logged on the SCR, placed in a sealed envelope and filed in the personnel file. (Do not add confidential information from a positive disclosure to the SCR.)
 - The Disqualification Section (Section 2) must be detached and sent to HR. HR will retain the form for a maximum period of 6 months.
 - The DBS result must be logged on the SCR. The school must not retain copies of DBS certificates for longer than six months.
- Risk Assessment procedure - if a DBS certificate has not been requested e.g. volunteers (not in regulated activity):
 - Section 1 and Section 2 must be completed.
 - The risk assessment (Section 1) must be logged on the SCR, placed in a sealed envelope and filed in the volunteer risk assessment folder.
 - The Disqualification Section (Section 2) must be detached and sent to HR. HR will retain the form for a maximum period of 6 months.
- Refer to 'Risk assessment for a positive DBS disclosure' if a positive disclosure is received.

In providing this risk assessment, the Head/CEO remains responsible for the decision made to start an employee without a DBS check being in place and the steps taken to minimise the risk in the school. The individual must remain supervised at all times.

Section 1

School:	
Employee or volunteer name:	
Position:	
What contact will they have with children? (Face to face; 1:1; Group; Telephone etc.).	
Frequency of contact with pupils? (Daily; weekly, etc.)	
Will the employee/volunteer be in a position where they could build relationships?	
Have references been received?	
Do the references come from employers?	
Were there any issues raised in the references?	
Has the applicant worked in a similar environment before?	
Date a separate barred list check was obtained for the individual starting in regulated activity (before their DBS certificate is available).	
What are the risks - to pupils, school reputation etc.?	

Safeguards in place to reduce the risk to pupils of the school? (if supervised by another staff member, what happens if this person is called away?)	
Possible reactions of employees, parents etc. if any issue arose from starting an employee before clearances received.	
Date DBS Disclosure application submitted	

Risk assessment carried out by the Head/CEO		Date
Name of the Head/CEO		
Signature of Head/CEO		

On completion of Section 1 above and Section 2 below, detach Section 2 and send it to HR. Section 1 must be logged on the SCR, placed in a sealed envelope and retained in the personnel file.

Section 2

Disqualification Section from the ‘New Starter Risk Assessment if DBS not back by start date’

Has a DBS certificate been requested? Yes / No

- The Head/CEO must ask the employee or volunteer the questions below
- Send Section 2 to HR.
- Risk Assessment procedure - if a DBS certificate has been requested:
 - Section 1 and Section 2 must be completed.
 - The risk assessment (Section 1) must be logged on the SCR, placed in a sealed envelope and filed in the personnel file. (Do not add confidential information from a positive disclosure to the SCR.)
 - The Disqualification Section (Section 2) must be detached and sent to HR. HR will retain the form for a maximum period of 6 months.
 - The DBS result must be logged on the SCR. The school must not retain copies of DBS certificates for longer than six months.
- Risk Assessment procedure - if a DBS certificate has not been requested e.g. volunteers (not in regulated activity):
 - Section 1 and Section 2 must be completed.
 - The risk assessment (Section 1) must be logged on the SCR, placed in a sealed envelope and filed in the volunteer risk assessment folder.
 - The Disqualification Section (Section 2) must be detached and sent to HR. HR will retain the form for a maximum period of 6 months.
- Refer to ‘Risk assessment for a positive DBS disclosure’ if a positive disclosure is received.

School:	
Employee or volunteer name:	
Position applied for:	
<p>For posts in regulated activity, the DBS check will include a barred list check. Have you been barred from working in regulated activity with children (i.e. are you included on the Disclosure and Barring Service Children’s Barred List):</p> <p>Yes / No</p>	
<p>Are you subject to a teacher prohibition order, or an interim prohibition order, issued by the Secretary of State, as a result of misconduct?</p>	

Yes / No

Do you have any convictions, cautions, reprimands or final warnings which are not protected as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended in 2013)?

Yes / No

If you answered yes to any of the questions above, please provide details:

Appendix 7 - Risk assessment for a positive disclosure

Risk assessment for a positive DBS disclosure

The Head / CEO is responsible for carrying out the risk assessment of an employee where a positive disclosure is received.

The Head / CEO must consider his/her duties in law but particularly those in respect of safeguarding and safer recruitment in Education.

In all cases:

- Contact HR to discuss if any information was disclosed on the Disclosure and Barring and Childcare Disqualification Form. This form is detached from the application form and retained by HR. The form will be retained for a maximum period of 6 months.
- HR **must** be made aware of the risk assessment being carried out before the risk assessment is signed off.
- The **CEO must** sign off any risk assessment where a decision has been made to employ someone with a positive disclosure on a DBS (in the case of an Executive Team member, sign off must be made by the Chair of the Trust Board).
- No employee will be set up as a starter until a copy of the risk assessment has been received and recorded by the Pickwick HR Team. This form is part of the process to complete the necessary clearances prior to a formal offer being confirmed.
- Section 1 and Section 2 must be completed.
- The risk assessment (Section 1) must be logged on the SCR, placed in a sealed envelope and filed in the personnel file. (Do not add confidential information from a positive disclosure to the SCR.)
- Section 2 must be detached and sent to HR. HR will retain the form for a maximum period of 6 months.
- The DBS result must be logged on the SCR. The school must not retain copies of DBS certificates for longer than six months.

In providing this risk assessment the **Head / CEO remains responsible** for the decision made to confirm that satisfactory clearances have been obtained prior to confirming the formal offer of employment. The Head / CEO is also responsible for ensuring that any necessary steps are taken to minimise the risk in that school.

Section 1

Employee/Volunteer Name:	
DBS disclosure number:	
Date Head / CEO met and discussed the DBS disclosure with the employee/volunteer:	
Date DBS Disclosure submitted to HR Team:	
Taking account of all factors above, assess the risk as significant, moderate, minor or insignificant	

Confirm that the above named:	
Has confirmed the details above and I consider them to be a suitable person to be employed/involved in my school Or	
Is no longer employed by the school and/or	
Cannot be contacted. (HR to send them an “unable to process” letter)	

	Signed	Date
Head (or CEO in the case of Executive team member): I verify that I completed this risk assessment		
CEO (or Chair of Trust Board in the case of Executive team member) Sign Off I verify that, based on available information, the Head/CEO has accessed all relevant advice and is taking an informed decision which I support		

On completion of Section 1 above and Section 2 below, detach Section 2 and send it to HR. Section 1 must be logged on the SCR, placed in a sealed envelope and retained in the personnel file.

Section 2

Risk assessment for a positive DBS disclosure

- On completion of Section 1 and Section 2, detach this section and send it to HR. HR will retain section 2 for a maximum period of 6 months.
- The **CEO** (or Chair of Trust Board for Executive team members) **must** sign off any risk assessment where a decision has been made to employ someone with a positive disclosure on a DBS

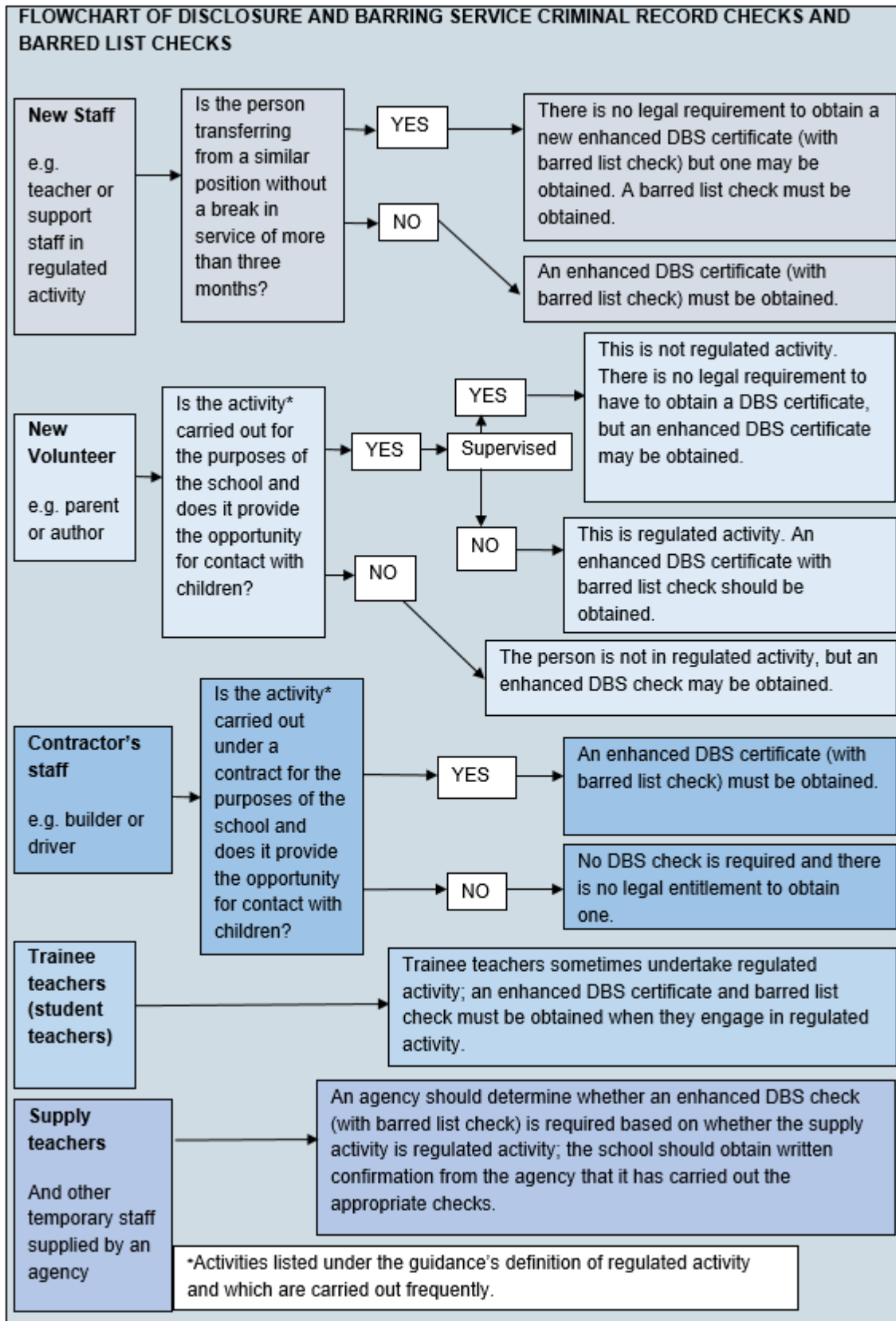
Employee/Volunteer Name:	
DBS disclosure number:	
Date Head / CEO met and discussed the DBS disclosure with the employee/volunteer:	
The Nature of the offence – what was the caution, reprimand, warning or conviction(s)?	
When it happened – date(s) involved?	
Circumstances Involved	
Sentence given – was it custodial, a fine etc?	
Patterns of offending – frequency?	
Efforts to avoid re-offending – course attended?	
Job requirements – relate directly with job description	
Safeguards against offending at work	
Possible reactions of employees, customers etc. – objectively assessed	

Date DBS Disclosure submitted to HR Team:	
Taking account of all factors above, assess the risk as significant, moderate, minor or insignificant	
What are your reasons for this assessment and your recommendations?	
What actions are to be taken in relation to this individual?	

Confirm that the above named:	
Has confirmed the details above and I consider them to be a suitable person to be employed/involved in my school/academy Or	
Is no longer employed by the school/academy and/or	
Cannot be contacted. (HR to send them an “unable to process” letter)	

	Signed	Date
Head / CEO: I verify that I completed this risk assessment		
CEO (or Chair of Trust Board in the case of Executive team member) Sign Off I verify that, based on available information, the Head/CEO has accessed all relevant advice and is taking an informed decision which I support		

Appendix 8 – Source Keeping Children Safe in Education, September 2021



Appendix 9

Trust Policy on the Recruitment of Ex-Offenders

- a. Pickwick Academy Trust follows the DBS code of practice on the employment of offenders and undertakes to treat all applicants fairly.
[DBS code of practice - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/db-code-of-practice)
- b. As a trust using the disclosure and barring checking service to assess applicants' suitability for positions of trust working with children, the trust undertakes not to discriminate unfairly against any person who is the subject of a DBS check on the basis of a conviction or other information revealed.
- c. The trust is committed to the fair treatment of its staff and potential staff, regardless of race, gender, religion, sexual orientation, responsibilities for dependants, age, physical/mental disability or offending background.
- d. The trust actively promotes equality of opportunity for all applicants with the right mix of talent, skills and potential and welcomes applications from a wide range of candidates, including those with criminal records. The headteacher/recruiting manager will select candidates for interview based on their skills, qualifications and experience.
- e. All positions require an enhanced DBS check and, all application forms, job adverts and recruitment briefs will contain a statement that a DBS check will be requested in the event of the individual being provisionally offered the position.
- f. As part of the recruitment process, those candidates who are shortlisted for interview will be required to complete a Self-Declaration of Criminal Record form. The form will be held securely and destroyed after a maximum period of 6 months. The Trust will guarantee that this information will only be seen by those who need to see it as part of the recruitment process.
- g. The trust will only ask an individual to provide details of convictions and cautions that Pickwick Academy Trust are legally entitled to know about. Please refer to <https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974> for further information regarding the new filtering rules for DBS certificates (from 28 November 2020 onwards) and clarification of what convictions must be declared.
- i. The trust ensures that all those who are involved in the recruitment process have been suitably trained to identify and assess the relevance and circumstances of offences.
- j. The trust is aware of its obligations under the Rehabilitation of Offenders Act 1974. Candidates should be aware that all roles at the trust are exempt from the provisions of this Act.

- k. At interview, or in a separate discussion, the trust will ensure that an open and measured discussion takes place on the subject of any offences or other matter that might be relevant to the position. Failure to reveal information that is directly relevant to the position sought could lead to withdrawal of an offer of employment.
- l. The Academy undertakes to discuss any matter revealed in a DBS check with the person seeking the position before withdrawing a conditional offer of employment.
- m. Having a criminal record will not necessarily bar the applicant from working at Pickwick Academy Trust. It will depend on the nature of the position and the circumstances