



RECRUITMENT AND SELECTION POLICY AND PROCEDURE

The OHC&AT Board of Directors has agreed this Policy – 22nd January 2021.

Jay Mercer
Chair of OHCAT Board

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Peter Lauener
Chair of OHC Board

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Recruitment and Selection Policy

INTRODUCTION

Orchard Hill College and Academy Trust (OHC&AT) is committed to providing outstanding educational opportunities for all our pupils and students. Part of that commitment is an undertaking to recruit and retain the highest standard of employees. This policy and procedure sets out OHC&AT's principles and processes for carrying out recruitment and selection. OHC&AT recognises that its employees are fundamental to its success and is committed to recruiting a high quality workforce with appropriate expertise and experience to deliver its strategic objectives and, most importantly, to ensure that all pupils and students have an outstanding experience.

OHC&AT is proactive in promoting diversity and ensuring that difference is recognised and celebrated within the context of fairness and equality. In its recruitment practices OHC&AT will treat all potential employees with dignity and respect, valuing the diversity of all and by doing so appointing the best person for the job.

OHC&AT is committed to safeguarding and promoting the welfare of children, young people and vulnerable adults, and expects all staff (including supply staff), governors and volunteers to share this commitment. OHC&AT will comply with all the relevant legislation, recommendations and guidance published by the Department of Education, Keeping Children Safe in Education (2020), the Childcare Act (2006)(as amended 2018), Childcare (Disqualification) and Childcare (Early Years Provision Free of Charge) (Extended Entitlement) (Amendment) Regulations 2018 ("the 2018 regulations"), the Prevent Guidance for England and Wales (2015) (the Prevent Guidance), the School Staffing (England) Regulations 2009, the Education (Independent School Standards) (England) 2014, the code of practice published by the Disclosure and Barring Service (DBS) and the Modern Slavery Act 2015.

OHC&AT ensures that it meets its commitment to safeguarding and promoting the welfare of children, young people and vulnerable adults by carrying out the necessary pre-employment checks. This also helps to ensure that our recruitment processes are transparent and guard against risks associated with modern slavery and human trafficking.

This policy aims to ensure that no applicant receives less favourable treatment on the grounds of race, gender, disability, gender reassignment, age, social class, sexual orientation, religion or belief, marriage and civil partnership, pregnancy and maternity. Flexible recruitment practices may be adopted for those with a disability.

It is the responsibility of every employee involved in recruitment and selection to ensure compliance with this policy. Guidance on the implementation of this policy (known as the Recruitment and Selection Procedure and Disclosure Guidance) is provided in the Appendices.

This policy and procedure applies to all appointments to OHC&AT including fixed term and staff on zero hour contracts. All references to Orchard Hill College and Academy Trust (OHC&AT) include both Orchard Hill College (OHC) and Orchard Hill College Academy Trust (OHCAT) as employers unless otherwise specified.

POLICY STATEMENT

OHC&AT will always seek to recruit the best candidate for the job. Vacancies will be advertised internally across the organisation and most, including leadership vacancies, will be advertised externally using the most appropriate advertising medium. In extenuating circumstances, where there is a proven business case, the Chief Executive Officer may waive the requirement to advertise.

OHC&AT will provide training and support to those involved in recruitment and selection activities.

Recruitment and selection is a key public relations exercise and should enhance the reputation of OHC&AT. All candidates will be treated with respect and courtesy, aiming to ensure that the candidate experience is positive, irrespective of the outcome.

Panel members should not be involved in a recruitment exercise and/or appointment where they are related to an applicant or have a close personal relationship with them outside work. All staff are required to declare any familial or close personal relationships with other members of OHC&AT staff, either upon appointment or as and when the situation demands.

OHC&AT welcomes applications from people with disabilities and will always seek to ensure that we operate a fair and accessible recruitment and selection process, including making reasonable adjustments where necessary.

All documentation relating to candidates will be treated confidentially in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR).

POLICY REVIEW DETAILS

<i>Version:</i>	1.7
<i>Reviewer:</i>	Janet Sherborne, John Prior
<i>Approval body:</i>	Family Board
<i>Date this version approved:</i>	22 nd January 2021
<i>Due for review:</i>	Autumn 2021

RELATED POLICIES AND PROCEDURES

Anti-Radicalisation Policy
Child Protection, Adult Protection and Safeguarding Policy

Equality and Diversity Policy
Modern Slavery Statement
Remuneration Policy
Staff Code of Conduct

APPENDIX 1: RECRUITMENT AND SELECTION PROCEDURE

The following provides information for all recruiters and HR from pre-recruitment to employment. The recruitment and selection checklist in Appendix 2 should be used in conjunction with this procedure.

Section 1: Pre-recruitment process

Job Description and Person Specification

Before any recruitment activity, it is good practice to review the job description and person specification to ensure they are up to date and an accurate reflection of what the job entails.

The person specification should relate directly to the job description and set out the core qualifications, experience, skills and behaviours required. Some criteria may be desirable rather than essential and it is good practice to highlight this.

If it is a new role, you will need to draft a job description and person specification and OHC&AT Human Resources (HR) can support you with this. Some new roles will need evaluation by the HR team using the job evaluation system.

Advertising the role

Please discuss with OHC&AT HR how you intend to fill the role, including internal and external advertisement strategies. They can advise you on effective ways to attract applicants and different media to use depending on the role.

In extenuating circumstances the Principal or CEO may waive the need to advertise – you will need their express authority to do this.

The application process

All applicants will be required to complete an application form containing questions about their academic and employment history and their suitability for the role. Should there be any gaps in academic or employment history, a satisfactory explanation must be provided at interview. A curriculum vitae will not be accepted in place of the completed application form.

Shortlisting

Shortlisting will be completed by at least two people to ensure fairness and consistency and prevent bias.

The panel should agree their criteria and evidence for selecting for interview; these should be objective, relevant to the role and measurable, and against the person specification.

Panel members should use the OHC&AT scoring system and record scores for each candidate. The same scoring method is also used at interview stage. Using these scores you should decide which candidates you wish to put forward to the next stage in the process.

Other pre-interview screening

The interview panel should scrutinise the application form as a whole, reviewing work history and identifying any gaps, and look to see if the applicant has recently been working abroad. If you have any concerns please discuss these with OHC&AT HR.

Selection interviews and testing

The school or College will make the arrangements for interview and testing in liaison with OHC&AT HR as required. The following will need to be agreed in advance:

- Shortlisted candidates
- Panel names
- Dates and times
- Venue
- Test details
- Student involvement as appropriate
- Interview questions and evidence

There are many tests available to enhance the recruitment process, and OHC&AT HR will be able to advise on this. It is helpful to use testing for certain criteria alongside a face to face interview e.g. measuring by observation how a candidate interacts with students.

Interviews should be structured and led by the Chair of the panel. All questions must be objective and relevant to the role. You may also agree some follow up or probing questions to be used as appropriate. It is important to be consistent in your questioning to ensure fairness and avoid bias with candidates. At least one member of the panel must have had safer recruitment training. All interview panels should include the designated line manager for the role. Panels for senior postholders will include representation from the relevant governing body: for Academy Principals, this would usually be the Chair of their LGB; for OHC&AT executive roles (Chief Executive Officer, Deputy CEO, Chief Finance Officer, Chief Operating Officer, Principal of Orchard Hill College), this would be one or more members of the OHC&AT Board of Trustees.

You should measure the candidate's attitude and values regarding key concepts such as safeguarding, equality and diversity and the Prevent duty during the interview.

If there are any unexplained gaps in employment history, then this should be explained at interview and documented. Further checks should be made as appropriate.

Candidates will be asked to bring to interview their passport and/or birth certificate and evidence required for the DBS, right to work and identity check, together with proof of any relevant qualifications.

You should score the candidates against the agreed framework using the points system. This should be discussed and agreed by the whole panel for both interview and tests. The Chair will have the final decision.

Section 2: Employment Offer

Following the interview, the lead manager or HR will telephone the successful candidate to make the conditional job offer, and all other candidates to inform them that they were unsuccessful on this occasion. All offers are made subject to clearances. For unsuccessful candidates their personal documents will be shredded immediately.

The following checks **must** be completed before anyone starts work in an OHC&AT setting. The only exception is set out on p.7 under 'Starting work pending receipt of the DBS Disclosure'. This follows the regulatory framework set out in Keeping Children Safe in Education (2020).

If it is decided to make an offer of employment following the formal interview, any such offer will be conditional on the following:

- the agreement of a mutually acceptable start date and the signing of a contract,
- verification of the applicant's identity and right to work (this should have already been seen at interview);
- verification of qualifications, whether professional or otherwise, which OHC&AT takes into account in making the appointment decision, or which are referred to in the application form, whether a requirement for the role or not;
- verification of the applicant's employment history;
- the receipt of a minimum of two satisfactory references (one of which must be from the applicant's most recent employer);
- receipt of a clear enhanced DBS certificate. If there are any convictions these must be discussed with the candidate and in some cases, depending on the conviction, the offer of employment may be withdrawn – please seek advice from HR;
- for positions which involve "teaching work", information about whether the applicant has ever been referred to, or is the subject of a sanction, restriction or prohibition issued by the Teaching Regulation Agency (TRA) which renders them unable or unsuitable to work at OHC&AT;*
- check that the individual is not subject to any historic sanctions and restrictions imposed by the General Teaching Council for England;*
- where the position amounts to "regulated activity", the receipt of a satisfactory enhanced disclosure with barred list check from the DBS;
- information about whether the applicant has ever been subject to a direction under section 142 of the Education Act 2002 which renders them unable or unsuitable to work in a OHC&AT setting

- for management positions in the Academies and College, information about whether the applicant has ever been referred to the Department for Education, or is the subject of a direction under section 128 of the Education and Skills Act 2008 which renders them unable or unsuitable to work at the Academy or College;
- where relevant, confirmation that the applicant is not disqualified from working in connection with early or later years provision (Disqualification under the Childcare Act 2006, as amended 2018);
- verification of the applicant's medical fitness for the role;
- any further checks which OHC&AT decides are necessary as a result of the applicant having lived or worked outside of the UK, which may include an overseas criminal records check, certificate of good conduct or professional references. This includes those who have lived or worked in the EEA.

As employees of OHC&AT, staff are expected to devote the whole of their time, attention and ability during their hours of work to carrying out their duties in their given role. It is a requirement that staff do not hold any office or engage in any activity with a third party which in the opinion of their line manager may interfere with the proper performance of their duties or present a conflict of interest, unless prior written permission is secured from their line manager. For the avoidance of doubt, staff will not be required to abstain from any occupation or activity which does not interfere with the proper discharge of their duties. Any permissible activity will be subject to OHC&AT's confidentiality duty.

Section 3: Pre-Employment Checks

This section details all the checks that must take place prior to a candidate starting in post.

In accordance with the guidance set out in KCSIE 2020, the Childcare Act 2006 (as amended 2018) and the 2018 regulations, and the requirements of the Education (Independent School Standards) Regulations 2014, OHC&AT carries out a number of pre-employment checks in respect of all prospective employees. These checks are carried out to ensure that candidates are suitable to work for OHC&AT, including satisfying the principles of the harm test as set out in KCSIE 2020 which state that a person may pose a risk of harm to children or vulnerable adults if they have:

- behaved in a way that has harmed a child/vulnerable adult, or may have harmed a child/vulnerable adult;
- possibly committed a criminal offence against or related to a child/vulnerable adult;
- behaved towards a child/vulnerable adult in a way that indicates they may pose a risk of harm to a child/vulnerable adult; or
- behaved or may have behaved in a way that indicates they may not be suitable to work with children/vulnerable adults.

In addition to the checks set out below, OHC&AT reserves the right to obtain such formal or informal background information about an applicant as is reasonable in the

circumstances to determine whether they are suitable to work for OHC&AT. This may include internet and social media searches.

In fulfilling its obligations OHC&AT does not discriminate on the grounds of race, colour, nationality, ethnic or national origin, religion or religious belief, sex or sexual orientation, marital or civil partner status, disability or age.

Verification of identity, address and qualifications

All applicants who are invited to an interview will be required to bring with them evidence of identity, right to work in the UK, address and any qualifications relevant to the job.

Where an applicant claims to have changed their name by deed poll or any other means (e.g. marriage, adoption, statutory declaration) they will be required to provide documentary evidence of the change.

References

References may be taken up on shortlisted applicants prior to interview. Please note that no questions will be asked about health or medical fitness prior to any offer of employment being made.

All offers of employment will be subject to the receipt of a minimum of two references which are considered satisfactory by OHC&AT. One of the references must be from the candidate's current employer.

All referees will be asked whether they believe the applicant is suitable for the job for which they have applied and whether they have any reason to believe that the applicant is unsuitable to work with children. All referees will be sent a copy of the job description and person specification for the role for which the applicant has applied.

OHC&AT will only accept references obtained directly from the referee.

OHC&AT will compare all references with any information given on the application form. Any discrepancies or inconsistencies in the information will be taken up with the applicant and the relevant referee before any appointment is confirmed.

Where a reference is not received prior to interview it will be reviewed upon receipt. Any discrepancies identified between the reference and the application form and/or the interview assessment form will be considered by the College/Academy and/or OHC&AT HR. The applicant may be asked to provide further information or clarification before an appointment can be confirmed.

It is recognised that many organisations only supply factual references i.e. those which contain limited information such as job title and dates of employment, this will not necessarily disadvantage an applicant although additional references may be sought before an appointment can be confirmed, particularly in respect of safeguarding.

OHC&AT may at its discretion make telephone contact with any referee to verify the details of the written reference provided. References received electronically are subject to verification by OHC&AT HR.

No candidate may start work at an OHC&AT setting until at least two satisfactory references have been received.

Criminal records check

OHC&AT will apply for an enhanced disclosure from the DBS and a check of the Children's and/or Adults' Barred List (now known as an Enhanced Check for Regulated Activity) in respect of all positions at the College/Academy which amount to "regulated activity" as defined in the Safeguarding Vulnerable Groups Act 2006 (as amended). The purpose of carrying out an Enhanced Check for Regulated Activity is to identify whether an applicant is barred from working with children or adults by inclusion on the relevant Barred List and to obtain other relevant suitability information.

The DBS issues the DBS disclosure certificate to the subject of the check only, rather than to OHC&AT. It is a condition of employment with the College/Academy that the **original** disclosure certificate is provided to OHC&AT as soon as practical after the certificate is received.

Employment will remain conditional upon the original certificate being provided and it being considered satisfactory by the College/Academy.

Starting work pending receipt of the DBS Disclosure

If there is a delay in receiving a DBS disclosure the Principal has discretion to allow an individual to begin work pending receipt of the disclosure certificate. This will only be allowed if **all other checks**, including a clear check of the Children and/or Adults' Barred List as applicable to the role and setting (where the position amounts to regulated activity) and receipt of satisfactory references, have been completed and once appropriate supervision has been put in place. Appendix 3 provides a risk assessment which must be completed and signed prior to the start of employment. Final authorisation will be required by OHC&AT HR.

Applicants who have lived or worked outside the UK, including the EEA

Where applicants are asked to provide further overseas information this will include, where available, a criminal records check from the relevant jurisdiction(s) or a certificate of good conduct (as appropriate) and / or references from any employment held.

Reference will be made to the Home Office Guidance on criminal records checks for overseas applicants. It is recognised that such checks can take time and in exceptional circumstances and depending on how long the applicant has worked or lived outside the UK a risk assessment may be undertaken. However for those entering the country after a significant period of employment in another country, work can only commence once sufficient overseas information has been received and only if OHC&AT has

considered that information and confirmed that the applicant is suitable to commence work at the College/Academy.

Prohibition from teaching check

OHC&AT will check whether staff who carry out "teaching work" as defined in Keeping Children Safe in Education (2020) are prohibited from doing so. OHC&AT uses the Teaching Regulation Agency (TRA) system to check whether successful applicants are the subject of a prohibition, or interim prohibition order issued by a professional conduct panel on behalf of the TRA. The GTCE list will also be checked. However due to the nature of the OHC&AT settings, these checks are carried out on all successful applicants.

Prohibition from management check

OHC&AT is required to check whether any applicant for a management position is subject to a direction under section 128 of the Education and Skills Act 2008 which prohibits, disqualifies or restricts them from being involved in the management of an Academy or College (a **section 128 direction**).

This check applies to appointments to management positions within Academies and the College including members of Local Governing Bodies, College and Trust Directors and leaders and managers working for OHC&AT, made on or after 12th August 2015.

Childcare disqualification

The Childcare Act 2006 (as amended 2018) and the Childcare (Disqualification) and Childcare (Early Years Provision Free of Charge) (Extended Entitlement) (Amendment) Regulations 2018 state that it is an offence for the Academy to employ anyone in connection with our early years provision (EYP) or later years provision (LYP) who is disqualified, or for a disqualified person to be directly involved in the management of EYP or LYP. The definitions are:

- (a) *EYP includes usual school activities and any other supervised activity for a child up to 1 September after the child's 5th birthday, which takes place on the school premises during or outside of the normal school day;*
- (b) *LYP includes provision for children not in EYP and under the age of 8 which takes place on school premises outside of the normal school day, including, for example breakfast clubs, after school clubs and holiday clubs. It does not include extended school hours for co-curricular activities such as sports activities.*

While Disqualification by Association no longer applies in schools, it remains the case that the relationships and associations that staff have in school and outside (including online) may have an implication for the safeguarding of students and as such there is an expectation that staff will speak to the school promptly if any such situation should arise.

Medical fitness

OHC&AT will ask all applicants to whom an offer of employment is made to complete a Health Questionnaire. OHC&AT will arrange for the information contained in the Health Questionnaire to be reviewed by OHC&AT's occupational health advisor. If OHC&AT's occupational health advisor has any doubts about an applicant's fitness, OHC&AT will consider reasonable adjustments in consultation with the applicant. OHC&AT may also seek a further medical opinion from a specialist or request that the applicant undertakes a full medical assessment.

OHC&AT is aware of its duties under the Equality Act 2010. No job offer will be withdrawn without first consulting with the applicant, obtaining medical evidence, considering reasonable adjustments and suitable alternative employment.

Declaration of Familial or Close Personal Relationships

OHC&AT requires all prospective employees to declare any familial or close personal relationships with other members of OHC&AT staff. This information will be requested by OHC&AT HR as part of the standard pre-employment checks.

Section 4: Contractors, agency staff, volunteers, governors and visiting speakers

Contractors and agency staff

Contractors providing a service to OHC&AT will be required, wherever possible, to attend College/Academy centres outside of school hours, preventing contact with students/pupils.

Agencies who supply staff to OHC&AT must also complete the pre-employment checks which OHC&AT would otherwise complete for its staff. Again, OHC&AT requires confirmation that these checks have been completed before an individual can commence work at the College/Academy.

Contractors or any employees of the contractor must complete the pre-employment checks which OHC&AT would otherwise complete for its staff. Contractors engaging in regulated activity will require an enhanced DBS certificate including barred list information.

The school or college must also check that the person presenting themselves for work is the same person on whom the checks have been made.

OHC&AT will independently verify the identity of individuals supplied by contractors or an agency above and requires the provision of the DBS disclosure certificate before the start date of those individuals.

Governors and volunteers

OHC&AT will request an enhanced DBS disclosure with barred list for all governors as well as volunteers undertaking regulated activity with pupils/students at or on behalf of the College/Academy.

Under no circumstances will OHC&AT permit an unchecked governor or volunteer to have unsupervised contact with pupils/students.

It is OHC&AT's policy that a new DBS certificate is required for volunteers who will engage in regulated activity but who have not been involved in any activities with the College/Academy for three consecutive months or more. Those volunteers who are likely to be involved in activities with the College/Academy on a regular basis may be required to sign up to the DBS update service as this permits the OHC&AT to obtain up to date criminal records information without delay prior to each new activity in which a volunteer participates.

In addition, OHC&AT will seek to obtain such further suitability information about a volunteer as it considers appropriate in the circumstances. This may include taking up references and requesting evidence of right to work.

Visiting speakers and the Prevent Duty

The Prevent Duty Guidance requires OHC&AT to have clear protocols for ensuring that any visiting speakers, whether invited by staff or by pupils, are both suitable and appropriately supervised.

OHC&AT is not permitted to obtain a DBS disclosure or Children's Barred List information on any visiting speaker who does not engage in regulated activity at the College/Academy or perform any other regular duties for or on behalf of the Academy or College.

All visiting speakers will be subject to the College/Academy's procedures which will include signing in and out at Reception, the wearing of a visitor's badge at all times and being escorted by a fully vetted member of staff between appointments.

OHC&AT will also obtain such formal or informal background information about a visiting speaker as is reasonable in the circumstances to decide whether to invite and/or permit a speaker to attend the College/Academy. In doing so the College/Academy will always have regard to the Prevent Duty Guidance and the definition of "extremism" set out in KCSIE which states:

"Extremism" is the vocal or active opposition to our fundamental values, including democracy, the rule of law, individual liberty and the mutual respect and tolerance of different faiths and beliefs. This also includes calling for the death of members of our armed forces."

In fulfilling its Prevent Duty obligations OHC&AT does not discriminate on the grounds of race, colour, nationality, ethnic or national origin, religion or religious belief, sex or sexual orientation, marital or civil partner status, disability or age.

Section 5: Retention and security of disclosure information

OHC&AT's policy is to observe the guidance issued or supported by the DBS on the use of disclosure information and will not store disclosure information for longer than six months.

OHC&AT is legally required to undertake the above pre-employment checks. Therefore, if an applicant is successful in their application, the College/Academy will retain on their personnel file any relevant information provided as part of the application process. This will include copies of documents used to verify identity, right to work in the UK, medical fitness and qualifications. Medical information may be used to help OHC&AT to discharge its obligations as an employer e.g. so that OHC&AT may consider reasonable adjustments if an employee has a disability, or to assist with any other workplace issue.

This documentation will be retained by OHC&AT for the duration of the successful applicant's employment with the College/Academy. It will be retained in accordance with OHC&AT's retention of records schedule after employment terminates.

If the application is unsuccessful, all documentation relating to the DBS application will be shredded immediately.

The same policy applies to any suitability information obtained about volunteers involved with OHC&AT activities.

APPENDIX 2: RECRUITMENT CHECKLIST

Action	Date completed	Completed by (please initial)
Draft job description		
Draft person specification		
Advertisement approved		
Advertisement placed		
Send to applicant [or make available for download from website]: <ul style="list-style-type: none"> • application form • job description • person specification • Any other relevant information 		
Received from applicant completed: <ul style="list-style-type: none"> • application form 		
Complete shortlisting assessment form		
Send reference request letter and form (if references sought at this stage no questions can be asked about health or disability)		
Proceed with the recruitment?		
Invitation to interview letter sent to applicant		
The Interview Day		
A member of the panel collects <ul style="list-style-type: none"> • identity information (usually Passport) • Right to work (usually Passport or full birth certificate) • qualification documentation as required by the post • DBS disclosure application form which the candidate completes – all documents should be verified with the staff name's signature, in the case of passports, <i>I certify this is a true likeness of xxxxx and date.</i> • Any criminal self-disclosure information provided by the candidate <p>Note – please advise candidates that their documents will be shredded if they are unsuccessful</p>		

Action	Date completed	Completed by (please initial)
Check that a full employment history has been provided. If not, or if any gaps in the applicant's employment history have been identified, check why this is and make a note on the interview notes.		
Check whether the applicant has lived or worked overseas? Consider whether overseas checks will be required if an offer of employment is made. If yes, what information will be requested and from which countries: <ul style="list-style-type: none"> • criminal records check • certificate of good conduct • references 		
Conduct interview		
Complete interview assessment form		
Proceed with the recruitment? Send rejection letter		
Conditional offer of employment made.		
Offer accepted. Send to successful candidate Medical Declaration form		
Send health questionnaire to Occupational Health		
Conduct prohibition order check with Teacher Services and GTCE historic sanctions/restrictions list		
Conduct prohibition from management check with Teacher Services (if the position is a management role) including governors and trustees		
Send DBS disclosure application form to DBS		
Request overseas information in respect of any relevant periods of overseas residence, including the EEA, previously identified prior to interview (see above)		
Send reference request letter and form (if not already completed at shortlisting stage). NB: the reference request letter must ask all referees to state any known reason why the applicant is unsuitable to work with children and that there should be no material misstatement or omission relevant to the suitability of the applicant.		

Action	Date completed	Completed by (please initial)
Request declaration of any familial or other close personal relationships to members of OHC&AT staff		
First reference received Are there any gaps, inconsistencies or anomalies in the information provided?		
First reference approved		
Second reference received Are there any gaps, inconsistencies or anomalies in the information provided?		
Second reference approved		
Declaration of familial or other close personal relationships to members of OHC&AT staff received		
Original DBS disclosure certificate seen by College/Academy Disclosure reference number: ----- If this is a positive disclosure, the positive DBS consideration form should be completed and information compared with the self-disclosure submitted during the application/interview process.		
Does the DBS disclosure contain any information about the applicant being subject to a direction under section 142 of the Education Act 2002? If yes, can the appointment proceed?		
Section 128a If recruiting for a management role does the DBS disclosure contain any information about the applicant being subject to a direction under section 128 of the Education and Skills Act 2008 which prohibits, disqualifies or restricts them being involved in the management of an Academy or College? If yes, can the appointment proceed?		
Employment medical report received: Verified as medically fit or are further enquiries required		
Proceed with the recruitment?		

Action	Date completed	Completed by (please initial)
Send to applicant: <ul style="list-style-type: none"> • contract of employment together with staff privacy notice • Staff Code of Conduct • Child Protection, Adult Protection & Safeguarding Policy • Anti-Radicalisation Policy • Keeping Children Safe in Education Part 1 (2020) 		
Received from applicant: <ul style="list-style-type: none"> • signed contract of employment • Signed copy to that they have read Staff Code of Conduct, Child Protection Safeguarding Policy, Anti-Radicalisation Policy and Keeping Children Safe in Education Part 1 and Annex A (2020) 		
<p>Note: if all documentation has been received but not the DBS, then if there is a sound educational or business case a Barred List check can be requested.</p> <p>Enter Barred List check date on SCR</p> <p>If the list is satisfactory then, a risk assessment should be completed pending the DBS</p>		
Complete single central register using Dates completed columns above for all the SCR checks (in bold)		

Checked by

Name

Date

APPENDIX 3: RISK ASSESSMENT FORM – EMPLOYMENT AHEAD OF DBS CHECK

When completing the section below, please refer to the guidance notes and reference table.

SECTION A: Checklist

EMPLOYEE: DATE OF ASSESSMENT:

POST ASSESSED:

Checks completed	Yes	No
Face to face interview		
Barred List		
All other clearances listed in Appendix 2		
Minimum of two references and a check covering 5 years' full time employment		
Are there any unexplained gaps in employment?		
Evidence of eligibility to work in the UK		
DBS application has been submitted		

SECTION B: Control measures

What control measures have been put in place to mitigate the risk of this employee commencing employment prior to full DBS clearance being received?

Control measures	Yes	No
All recommended control measures in place (see attached)*		
Is the new employee able to adhere to the control measures noted above?		

* If no, describe overleaf what measures have been put in place for minimise/offset risk.

SECTION C: Reason for appointment prior to DBS clearance

Please explain why it can be shown that not to employ the member of staff prior to clearance will have a significantly deleterious effect on the business of the organisation (continue overleaf if necessary). Give the date the DBS check was requested and when it is expected.

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Manager's name:

Job title:

Signed:

Date:

SECTION D: Approval

Appointment prior to DBS check approved/not approved (delete as appropriate).

Rationale for decision:

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Risk Assessment Form A

Activity/Person/Area Assessed:

Name(s) of assessor:	Reference number:
Date of Assessment:	Review Date:

No.	Hazard	People at risk	Existing control measure	Risk Rating: Red, Amber, Green
1				
2				
3				
4				
5				
6				
7				
8				
9				

Risk Rating:

High = current controls totally inadequate with serious consequences

Medium = current controls still poor but consequences less serious

Low = current controls are adequate to minimise the risk so far as reasonably practicable

Probability	3	3	6	9
	2	2	4	6
	1	1	2	3
		1	2	3
		Impact		

Action required: Yes/No (delete as appropriate)

If action is required please fill in Form B below.

Risk Assessment Form B

Hazard No	Action Required	By whom	Target date	Completion date

On completion date, please update the risk assessment form.

Manager's name:

Job title:

Signed:

Date: