



# **Safer Recruitment and Selection Guidance for Education Providers in Solihull**

**(KCSIE 2023)**

It is recommended that these Guidance Documents are read in conjunction with the model policy that should be ratified by your Governing Body at the next appropriate meeting. Should your school not participate in the Solihull Consultation and Negotiation Framework (e.g. some Academies) or there be any reason why your Governing Body is unable to implement this version of the policy, then it is important that they are aware of the need to engage with local trade unions to consult on an appropriate policy to cover your school.

Schools for whom Solihull Council does not administer the payroll will have different arrangements than those set out in this document, for administering some pre-employment checks and the administrative process following identification of the preferred candidate.

## **Safer Recruitment & Selection Guidance**

**This guidance document should be read in conjunction with the Safer Recruitment and Selection Policy.**

### **What does this Guidance cover?**

- Document 1 – Recruitment and Selection Code of Practice
- Document 2 – Keeping Children Safe in Education (Part 3) September 2023
- Document 3 – Recruitment and Selection Activity Flowchart
- Document 4 – Safer Recruitment Checklist
- Document 5 – Pre-appointment Checklist
- Document 6 – Guidance on Job Description & Person Specification
- Document 7 - A Guide to Good Copywriting
- Document 8 – Sample Adverts
- Document 9 – Asking Good Questions
- Document 10 – Selection Shortlisting Matrix
- Document 11 – Competency Interview Questions
- Document 12 – Assessment Techniques
- Document 13 – Interview Scoring Matrix
- Document 14 – Reference Request - teaching staff/ support staff
- Document 15 – Disclosure and Barring Service (DBS) Checks Guidance
- Document 16 – School Induction Programme: Guidance and Checklist
- Document 17 - Notes to accompany Model Single Central Record (SCR)
- Document 18 - Model Single Central Record 2022 December
- Document 19 – Guidance on Recruiting Teachers from Overseas 2021
- Document 20 –Guidance on undertaking online searches as part of the recruitment process
- Document 21 – Criminal Records Self -Declaration form for shortlisted candidates
- Document 22 – Criminal Records Self-Declaration form for shortlisted candidates (Academies) (incl. Section 128 question)

## Safer Recruitment and Selection Code of Practice

### Vacancies

#### Existing Posts

All decisions to fill vacancies should be based on sound business reasons. Prior to commencing the recruitment process, it is prudent to look at other alternatives. Often, particularly when an employee leaves after being in a post for a length of time, the requirements for that role have changed and it is therefore always worth considering the following:

- Can the work be absorbed by existing employees?
- Does the job need to be redesigned to incorporate changes?
- Does the post still require the same number of hours?
- Are there other options for filling the vacancy, for example, an apprenticeship?

In addition, there may be some uncertainty about the future, for example, an impending re-structure. In such circumstances it may be worth considering filling the post on a temporary basis or perhaps offering it as a Secondment opportunity whilst other options are explored.

#### New Posts

Any new non-teaching post will need to be evaluated in line with the Council's job evaluation scheme.

#### Job Description and Person Specification

Every position will have a job description and person specification. Each time a position becomes vacant the current job description and person specification must be reviewed to ensure that they are still accurate. If the revision is, however, more than a minor change the job will need to be reviewed to ensure that the job grade is still appropriate.

The schools' template for the job description and person specification should be used and can be found on the Safer Recruitment extranet page. For more detailed guidance on developing the job description and person specification (Document 6).

Schools **must** ensure that the Job Description and Person Specification includes the safeguarding responsibilities of the post holder.

#### Job Packs/Microsites

When advertising nationally or for a senior post, it is worth considering including other information as part of the recruitment pack or developing a microsite to promote a specific recruitment campaign.

This may include key messages such as information about Solihull as an area, The School, Solihull Council as an employer, information relating to Council activities and services, the structure of the school or other relevant information (e.g., Ofsted reports). It also provides an opportunity to brand the organisation as an employer of choice for people from all communities.

KCSIE 2023 states "Schools and colleges should also provide a copy of the school's or college's child protection policy and practices and policy on employment of ex-offenders in the application pack or refer to a link on its website."

## **Planning**

Before starting a recruitment process, Recruiting Managers, Head teachers and Governors must have received approval to recruit from their Finance representative where appropriate.

As part of the planning, decisions will also need to be made as to who will be involved in the recruitment process, including who will be the chair of the recruitment panel. At least one member of the interview panel will have completed the training for Safer Recruitment training, this will preferably be the Chair of the Panel who will have the responsibility of briefing all other members of the panel on the requirements of Safer Recruitment as stated within Keeping Children Safe in Education. Where independent/external panel members have been invited, the Chair of the recruiting panel will brief them on the process and expectations.

## **Advertising**

For maintained schools, to advertise a post on West Midlands Jobs, the recruiting manager should contact the Resourcing Team ([recruitment@solihull.gov.uk](mailto:recruitment@solihull.gov.uk) or Tel: 704-6188) for assistance with this process.

The aim of advertising is to attract applicants with the skills, knowledge and experience required for the job, and to promote the Council/School as an employer of choice.

All posts will be advertised on [www.wmjobs.co.uk](http://www.wmjobs.co.uk). This is a dedicated website for public sector employers in the West Midlands region and is used by 28 other organisations in the region. The site currently attracts 2.92million visitors and has over 37,000 job seekers signed up for alerts (September 2018)

Recruitment advertising can be very expensive and whilst consideration must be given to the cost, care must also be taken to ensure that advertisements are placed where they are likely to attract the most suitable applicants. In some instances, where certain groups are under-represented, it may be appropriate to consider advertising more widely bearing in mind the target market, how senior the post is and how many applicants there are likely to be, etc. In these instances, where possible, on-line jobs boards should be used as opposed to adverts in the printed press.

The advert should include the school's commitment to safeguarding and promoting the welfare of children and make it clear that safeguarding checks will be undertaken.

Posts in schools are exempt from the Rehabilitation of Offenders Act 1974 and the amendments to the exception orders 1975, 2013 and 2020.

KCSIE 2023 states "Schools and colleges should also provide a copy of the school's or college's child protection policy and practices and policy on employment of ex-offenders in the application pack or refer to a link on its website."

## **First Consideration**

Schools are encouraged to use the Council's 'First Consideration' process which gives employees, whose employment is at risk because of redundancy, their fixed term contract is ending, or they are unable to perform their current role due to ill health, the first opportunity to apply for vacancies within the Council and Schools.

Posts are placed on the Council's 'First Consideration' vacancy list prior to advertising more widely.

## Advertising Methods

- **Internal Recruitment** – Internal only recruitment can be considered where:
  1. Because of a Management of Change, there is an overall reduction in employees within the school.
  2. An adequate internal market exists for competitive selection to take place.
  3. Filling a vacancy internally will create another vacancy which will then be advertised externally.

Using the Solihull Council Resources team, vacancies will be advertised on the West Midlands Jobs Portal (WMJobs).

Please note under the Agency Workers Regulations, which came into effect from 1 October 2011, 'Internal Only' advertisements are open to current Solihull Council employees and agency workers who are placed with Solihull Council or Schools during the period the vacancy is 'live'.

Other options for advertising include:

- **Social Media** – i.e. LinkedIn, Twitter and Facebook. Promoting vacancies on social media platforms encourages better candidate engagement and offers immediate, two-way communication. Applicants are directed to WM Jobs to apply for vacancies.
- **Specialist and Professional Publications** – are suitable for jobs where a specific group of potential applicants need to be reached. These are available both in print and online, with the latter often offering a more cost-effective option.
- **National Newspapers** – are suitable for managerial, professional or specialist vacancies where there is an expectation that applicants would be willing to relocate but consideration should be given to placing the advert online rather than in print. Consideration would also need to be given on the affordability of any relocation package.
- **Local Schools, Colleges, Universities and Careers Services** – Often they have their own websites which allow vacancies to be placed free of charge, but these are probably most suited to trainee, apprentice, graduate, or intern vacancies, where limited experience is required.
- **Community Hubs** offer cost effective places or spaces to promote job vacancies. These are typically notice boards within Libraries, Schools, GP surgeries; Day Centre's, Council connect offices etc., and are useful to reach potential applicants who are less likely to access vacancies through traditional routes.
- **Job Fairs/Open Days** – These provide an opportunity to meet with potential candidates and provide a useful way of promoting the Council as an 'Employer of Choice'. They tend to be, however, better at raising the profile of the organisation, rather than recruiting to specific posts.
- **Recruitment Agencies/Consultants/Executive Search (Head-hunters)** – Due to the costs involved, these should only be used if normal recruitment methods have been unsuccessful or

for very specialist roles where it is known that there are very few people available with the required knowledge and experience.

## Copy Writing

All recruitment advertisements should:

- Display the Safer Recruitment statement as outlined in section 1 of the Safer Recruitment Policy.
- Inform candidates that with effect from September 2022 we will now be undertaking an online search on shortlisted candidates as part of the recruitment process.
- Project a positive image of the School and Solihull Council and promote them as an employer of choice.
- Include sufficient information regarding the job, including the key essential criteria to enable applicants to assess their ability to do the job and make an informed decision as to whether to apply.
- Contain all the appropriate logos, for example, 'Disability Confident and wording regarding equal opportunities, the fluency duty and safeguarding children, young people and vulnerable adults.
- Avoid using jargon, acronyms or terminology which is not easily understood by the target audience.
- Where appropriate, reference the need for the successful applicant to undertake a relevant disclosure via the Disclosure and Barring Service (DBS).

Please refer to (Guidance Document 7) for further hints and tips for copywriting adverts.

## Applications

All applicants will be required to complete an application via WM Jobs. Alternatives such as completion of a paper-based version or CV will not be accepted except where.

1. To not accept this would be a potential breach of the Council's duties under the Equality Act 2010. This would most likely relate to an applicant with a learning disability where a CV or paper application would be considered a reasonable adjustment.
2. It has been determined that accepting a CV would remove a barrier to potential applicants. In these circumstances the CV must be accompanied by a 'supporting statement' and submitted.
3. A Service/School specific 'Local' recruitment process has been agreed.

These options must be discussed and agreed by your Schools Governing Body.

Applications received after the closing date will not be accepted unless there are exceptional circumstances.

Schools **must** make it clear that it is an offence to apply for the role if the applicant is barred from engaging in regulated activity relevant to Children.

## Short-listing

Short-listing, particularly when there are a large number of candidates, is a time-consuming process. As part of the recruitment planning process, therefore, time must always be set aside to enable it to be done properly.

Personal information such as name age, gender, ethnic background etc. must not be seen by those carrying out the shortlisting to ensure there is no unconscious bias taking place and monitoring information sheets need to be separated on receipt of the applications in school.

It is essential that short-listing is carried out in a methodical and objective way. A record of the reasons for rejection must be retained for six months after appointment to the post. This will enable the school to justify the decisions made if required to do so.

### Short-listing Guidelines

The following guidelines should be adhered to:

- All applications must be checked to ensure that they are fully completed, and that the information provided is consistent and does not contain any discrepancies.
- For standard applications, the standard short-listing matrix should be used (Document 10). This enables managers to take a systematic approach to short-listing by assessing whether candidates meet the criteria by ticking or putting a cross against the listed criteria.
- Short-listing must be carried out by at least two people who will participate in the selection process. To ensure the process is objective, each person must shortlist independently and then come together as a panel to make the final decision.
- All applicants must be assessed against the criteria on the person specification/or the application questions not each other.
- Applicants who do not satisfactorily demonstrate that they meet all the essential criteria identified as being measured from the application form cannot be interviewed.
- Applicants must only be assessed against the criteria that have been identified on the person specification as being measured from the application form.
- Beware of making assumptions when reading application forms.
- Short-listers are looking for evidence. An applicant stating that he/she meets all the criteria is not sufficient neither are statements such as "I have good interpersonal skills". Successful applicants must give specific examples to back up such statements.
- The shortlist must consist of those applicants who best meet the criteria set out in the person specification.
- Selection criteria cannot be changed, or new criteria introduced.
- In the first instance, applications must be sifted into those who meet the essential criteria in the person specification. If this produces too many applications, the desirable criteria should be used to further reduce the number. In this instance all shortlisted candidates must meet both desirable and essential criteria (please note exception below).

- Applicants with a disability who meet all the essential criteria must be offered an interview.
- Personal information such as name age, gender, ethnic background, etc. must not, in any circumstances, be considered when shortlisting.
- As application forms contain personal information they must be treated as confidential and must always be kept securely.
- The short-listing panel must complete the relevant shortlisting matrix for the successful and unsuccessful applicants and the shortlisting matrix must be kept for six months (following appointment to the vacancy) in case of challenge.
- Realistically the maximum number of candidates who can be interviewed in one day is six (working on a one-hour interview).
- Shortlisted applicants will be asked to complete a Self-Declaration form (Document 21) and send it to the school in advance of the interview and sign it in person on the day of the interview.
- Shortlisted candidates will be subject to an on-line search following the Guidance from WM Employers (Document 20).

## **Selection Procedure**

Any selection process must be fair and transparent with the same process followed for all candidates. Under equality legislation (for which there is no limit on damages payable) the school is open to challenge at any point in the recruitment process and may be called upon to objectively defend any decisions made.

Recruitment is a two-way process and therefore every effort must be made to ensure that candidates are well looked after and are made to feel valued during the process. Consideration should be given to the administrative aspects of the day to ensure that the process runs smoothly. This will include booking suitable rooms, arranging refreshments, and notifying reception of the names and times of arrival of candidates.

Research has shown that well-run selection processes, in particular assessment centres, give candidates a positive impression of an organisation.

## **Interviews**

The most widely used method of selection is an interview and this must be a key component of any selection process.

The skill of the interviewer is to ensure that he/she extracts sufficient information from candidates to make an informed decision. The following guidelines will ensure that the interviewer gains the maximum amount of relevant information from candidates and the process is fair and robust:

- Encourage candidates to feel at ease during the interview by explaining the process.
- Interview panels must be a minimum of two people, one of whom must be the line manager and have at least one person on the panel that has undertaken Safer Recruitment Training.

- The interview panel should consist of individuals whose presence on the panel can be justified and who have a clear role to play in the selection process. Except for 'experts', panel members must be at least of an equivalent grade to the post being interviewed for.
- The panel should meet beforehand to agree the structure and content of the interview.
- The main part of the interview will consist of a set of interview questions which are based on the criteria set out in the person specification and asked of all candidates. Document 9 provides examples of different types of questions.
- Whilst all candidates must be asked the same standard questions, probing or follow-up questions may be asked to ensure that the interviewer gains sufficient information on which to base a decision. The purpose of the interview is to measure a candidate's ability to do the job **not** his/her interview skills. It is important; however, when asking follow-up questions that you do not 'lead' the candidate and interview notes must include details of the questions in case of challenge/complaint.
- In some instances, it may also be necessary to ask additional questions to clarify information or gaps on the application form. If the selection process involves other exercises, for example, a presentation, personality profile or ability testing there may also be questions specific to each candidate which arise from these. Again, interview notes must include details of any clarification/additional questions asked.
- Questions regarding a candidate's personal circumstances must not be asked under any circumstances.
- If there are any special conditions, such as working unsociable hours or standby arrangements, the candidate should be made aware of this requirement.
- All interviews should be scored to ensure consistency. To do this, interviewers will need to prepare model answers and set the scoring around these. Document 13 is an interview scoring matrix.
- Sufficient time should be allowed at the end of the interview for candidates to ask questions. Candidates' questions do not form part of the assessment process unless the Chair records that there are specific reasons for doing so, such as casting doubt on previous answers provided.
- Candidates must be assessed against the criteria in the person specification not each other.
- As part of the interview process candidates are asked to bring in the original copies of their qualifications, proof of eligibility to work in the UK and proof of address. These must be checked and verified. Photocopies, however, must not be taken at this stage. The interview and new starter checklist (Document 4) provides guidance.
- Comprehensive notes must be taken during the interview. After the decision as to who should be appointed has been made, the interview notes must be securely stored and retained for six months, following appointment. Care should be taken not to make personal comments about candidates or doodle on the interview notes as, if the decision is challenged, the notes will be evidence and candidates will have the right to see them.

- Interview feedback for candidates should be provided on request and be both factual and constructive. Whilst it is recommended that feedback is given by telephone, candidates can insist on feedback in writing.

### **Young People's Panels**

It is recommended that children or young people are involved in the selection for all jobs where there is a defined group of service users who are children and young people. Where children and young people are involved in a selection process, you should follow the principles in the guidance for using clients on recruitment panels which can be found on the Safer Recruitment page of the Schools Extranet.

### **Testing**

Well planned tests or assessment centers can assist greatly with the selection process by giving a more rounded picture of a candidate. As a rule, the more senior the post, the more comprehensive the assessment process should be.

The purpose of testing is to replicate as far as possible the key aspects of situations that individuals are likely to encounter in the role that they are being considered for. It is important that tests are chosen carefully to ensure that they are at an appropriate level and measure the skills needed for that post. For example, a presentation should only be used as part of the assessment process if the person will be expected to present on a regular basis as part of the role.

On occasions managers may wish to design their own tests. These must be checked before use to ensure that they are measuring the competency in a reliable and fair manner and are free from bias. This is particularly important when there is a mix of internal and external candidates.

If tests are being used the invitation to the interview must contain information regarding the test and where appropriate (for instance with purchased tests) practice leaflets.

When carrying out a selection process, good practice dictates that feedback is offered to all candidates. In the instance of psychometric testing, feedback can only be given by an appropriately qualified person.

Prior to the assessment centre, the weighting given to tests as a part of the whole selection process must be determined.

Please note psychometric ability tests carry a pass mark and to be appointed to the post, a candidate must attain this as a minimum. For more information, please refer to the Psychometric Testing Policy on the Safer Recruitment Page of the Extranet.

Details of assessment tools and techniques can be found in Document 12. Further advice on the type of tests available can be obtained from the Resources Team ([recruitment@solihull.gov.uk](mailto:recruitment@solihull.gov.uk)).

### **Choosing tests**

Before using any test, the following need to be considered:

- Is the test relevant to the role and linked to the person specification?
- Will the test give a reliable measure of how an individual would perform in the role?
- Does the test measure what it is designed to measure?
- What is the assessment criterion?
- If the test is scored, what is the success criteria/ pass mark.

- What weight will be given to the test results in the selection process?
- How will feedback be given to the candidates?

## **Other Considerations**

With selection processes and particularly assessment centres planning is key. The following should therefore be considered well before the event:

### Duration of the selection process

If the process is longer than one day or candidates are travelling any distance candidates may require overnight accommodation.

### Location

The location of the assessment centre is important. If exercises are being run concurrently several rooms will be needed. Remember a candidate's opinion of the school will be formed during the day; any rooms used should therefore be fit for purpose.

### Timing

It is essential that the timetable is adhered to. Additional time may also be needed for candidates to move between rooms. Where appropriate, breaks will need to be timetabled in for both the panel, assessors and candidates.

### Equipment

If a presentation is planned as part of the selection process, managers will need to ensure suitable equipment is available e.g., multi-media projectors, laptops, screens, appropriate software etc. If using MS PowerPoint, candidates will need to send in their presentations prior to the interview as it is likely that memory devices will be encrypted and cause technical difficulties.

### Assessors/Observers

If the center consists of either psychometric tests or other exercises, appropriately trained/qualified staff will be required to administer, assess, or observe the exercises. The Recruitment Team can provide advice.

### Specific requirements for disabled people

During any selection process reasonable adjustments will need to be made for people with disabilities. Prior to the process, candidates must be contacted to ascertain if there are any specific requirements or adjustments needed.

## **Making the Final Selection**

The final decision must be based on the evidence gained during the assessment process using this to measure each candidate against the criteria in the person specification.

The importance of making the right appointment cannot be over-emphasised and if the selection panel considers that none of the candidates meet the required standard for the post then no appointment should be made.

## **Pre-employment Checks and New Starter Administration**

### **References**

Once a conditional job offer has been made, employment references covering the last 3 years for the preferred candidate must be obtained. Reference details should be provided by the preferred candidate using the application form. This form confirms consent from the referees to use their personal data (Data Protection Act 2018)

In all cases, references **must** be scrutinised, and the information provided in the reference matched against the information provided on the application form or during the interview process (e.g. employer details, job title, dates of employment etc.). Any concerns or discrepancies in the information provided must be satisfactorily resolved.

The reference(s) must include the candidate's current employer (or last employer if not currently employed). If a candidate has not given his/her current employer as a referee the reasons behind this should be explored.

Where email addresses are provided for employer references, these must be work email addresses not personal email addresses.

Pre-prepared references produced by the candidate are not acceptable.

Personal references are only acceptable where the candidate has not had any recent work experience and should clearly state the relationship of the referee to the candidate. Personal references are not acceptable from colleagues, relatives, friends, or the partner of the candidate.

For further information please refer to the Giving and Receiving reference Guidance found on the Safer Recruitment page of the Extranet.

### **Appointment Process**

Managers may make a conditional verbal offer to the candidate (the offer should be, where appropriate, subject to references, qualifications, medical clearance and/or a DBS check with or without Barred list Check, barred from management check S128 and where required a Barred from teaching check for all those who are or ever have been a teacher).

For non-teaching staff the salary offered should be the bottom point of the salary grade. In situations, however, where the individual recruited has knowledge, skills and experience that warrants a higher salary, consideration will need to be given to the salary of other employees who have the same skills sets (knowledge, experience, qualifications etc.) Furthermore, to avoid claims of discrimination or practices that could conflict with the Council being equality compliant, the justification for paying a higher salary (in quantifiable terms) must be recorded on the appointment form. This could include evidence that demonstrates that the appointee meets part or all of the desirable criteria.

### **The 'Appointment Form'**

After the verbal offer has been made to the preferred candidate subject to pre-employment checks and accepted, managers need to complete the 'The New Starter Appointment Book' (available on the intranet). It is important that the information supplied is complete and accurate as this will be used to generate the offer letter, the contract and for payroll purposes.

## Offer Letters and checks.

Schools will notify the Employee Service Centre of the new starter details, forward on the completed personal details booklet and ensure that the new starter completes a medical questionnaire.

The Occupational Health provider will confirm to the school whether the individual is fit for work when in receipt of the completed medical questionnaire. On occasions, Occupational Health may require the potential employee to attend an appointment or telephone assessment. New starters should not begin employment until medical clearance has been received.

The Asylum and Immigration Act 2006 requires all employers in the UK to make basic document checks on every person they intend to employ. Making these checks protects the Council/school from employing illegal workers. Managers are therefore required to see certain documents to ensure that the potential employee can legally work in the UK. Further guidance including a list of accepted documents can be found in **Document 5 – Safer Recruitment New Starter and Pre-Appointment Check List**. Schools are required to examine the original documents, take a photocopy, sign, date and write 'original seen' on the photocopy, and forward it to the Employee Service Centre. This must be done before the potential employee starts work.

For staff working in regulated activity, an enhanced DBS check with barred list check is required. Potential school employees should not commence work until the appropriate level of DBS clearance and Child Workforce Barred list checks (where appropriate) have been received. A childcare disqualification check is also required where the post involves management of any early years or childcare provision for children aged birth to 8. Satisfactory clearance must be in place prior to starting employment.

In circumstances where a Headteacher/Governing Body determines that they are unable to wait for enhanced DBS clearance, **as an absolute minimum**, the potential employee must receive a barred list check while awaiting the enhanced DBS clearance and be working under the supervision of an employee with an enhanced DBS check with barred list check at all times, if they are to commence work prior to confirmation of their own enhanced DBS Child Workforce check, clearance being received. In such circumstances a risk assessment will be undertaken (Disclosures policy, Appendix 5) and the above measures put in place to minimise risk. This must be kept under review until the DBS check is received. (Guidance document 15).

In circumstances where a new member of staff is transferring from a similar position **within SMBC without a break in service of more than three months, where Solihull MBC HR Services have carried out their employment checks there is no legal requirement to obtain a new enhanced DBS (with barred list check) but one may be obtained.** A barred list check must be obtained. All other checks must be carried out by the new employer. (Guidance document 5).

Since December 2013 only one copy of the DBS certificate has been issued, and this is sent to the applicant. When undergoing any recruitment process, it is important that your successful applicant is asked to bring into school the original copy of their DBS form when they receive it and the school views the data and where there is a positive disclosure, completes the Positive DBS Disclosure Risk Assessment decision form. (Guidance document 15) If any content is included that causes concern you should contact the HR Advisor supporting your school to discuss further. Once this has been undertaken the document should be retained in school and a copy forwarded to Shared Services for the central personnel file. Please refer to SMBC Disclosure Policy. Schools do not have to keep copies of DBS certificates to fulfil the duty of maintaining the single central record (KCSIE part 3).

Guidance on the DBS Disclosure risk assessment decision form (2013) is in Guidance document 15, along with a DBS status check process flow chart.

In the case of volunteers, schools should record all the required information on their Single Central Record and the DBS disclosure decision form should be retained locally and will not be required to be forwarded to HR Shared Services as the information will only be saved by the school.

For agency and third-party supply staff, schools and colleges must also include whether written confirmation has been received that the employment business supplying the member of supply staff has carried out the relevant checks and obtained the appropriate certificates and the date that confirmation was received and whether any enhanced DBS Certificate check has been provided in respect of the member of staff.

If a new appointee is to occupy a management post in an independent school, academy or free school as an employee, is to be a trustee of an academy or free school trust, or is to be a governor or member of a proprietor body for an independent school, a check of whether the individual has been subject to a section 128 direction, which prohibits or restricts a person from taking part in the management of an independent school needs to be undertaken.

Governors in maintained schools since 1<sup>st</sup> September 2018, also need to be cleared as if they are barred due to a section 128 check they cannot continue to be or hold office as a governor of a maintained school. This can be done through the DBS barred list checking process which now includes bars from taking part in management, except when the individual is not in regulated activity, in which case the Teaching and Regulation Agency (TRA) prohibitions list must be used instead (this list is obtained from the Employer Access website by direct download, not through the search function). (KCSIE part 3). Please notify your HR payroll/shared services team where you require this check to be undertaken.

If a school or college knows or has reason to believe that an individual is barred, it commits an offence if it allows the individual to carry out any form of regulated activity. There are penalties of up to five years in prison if a barred individual is convicted of attempting to engage or engaging in such work.

For applicants who have lived or worked outside of the UK for six months or more in the last 5 years, in addition to a DBS check, a criminal record check or 'Certificate of Good Conduct' should be sought from the country/counties resided in.

**Gov. UK Secure Access** can be used to find out if potential **new staff**, have any current prohibitions, restrictions or sanctions using the following lists:

- Teachers who have failed to successfully complete their induction or probation period.
- Teachers who are the subject of a suspension or conditional order imposed by the Teaching and Regulation Agency (TRA) or General Teaching Council for England or NCTL (prior to their abolition).
- Teachers and others who are prohibited from teaching in England.
- Individuals who have been barred from taking part in the management of an independent school (including academies and free schools) – section 128 direction.
- Teachers sanctioned (since 18 January 2016) in other EEA member states by an EEA member state regulator of the teaching profession.

### **Arranging a Start Date**

The Employee Service Centre will notify schools when the necessary clearances have been obtained. The school can then contact the candidate and agree a start date. The school must advise the Employee Service Centre of the agreed start date.

### **Contracts**

Once the start date has been agreed, Employee Service Centre issue the contract and Written statement of particulars if part of the arrangements with the school, together with information on the

Teachers' Pension Scheme or Local Government Pension Scheme.

### **On-boarding and New Starter Information**

Prior to the start date, the Recruiting Manager will consider the induction requirements for the new member of staff and ensure any arrangements are made.

### **Day One Administration**

On the employee's first day, managers must check/action the following:

- New starter has returned a signed copy of their contract and personal information booklet to the Employee Services Team.
- Work through the induction pack with the employee.
- Inform the employee of his/her induction programme.
- Explain the probationary period (if appropriate).

### **Probationary Period**

For **all** employees new to Solihull the first six months of their employment are **probationary. It is essential that the probationary review period guidelines are followed.**

## Part three: Safer recruitment

This part of the guidance has four sections providing schools and colleges with the legal requirements 'must do', what they **should** do, what is considered **best practice** and **important information** about:

- i. [the recruitment and selection process](#)
- ii. [pre-appointment and vetting checks, regulated activity and recording of information](#)
- iii. [other checks that may be necessary for staff, volunteers and others, including the responsibilities on schools and colleges for children in other settings](#), and,
- iv. [how to ensure the ongoing safeguarding of children and the legal reporting duties on employers.](#)

### i. Recruitment and selection process

206. This section focuses on ensuring potential applicants are given the right messages about the school and college's commitment to recruit suitable people.

207. It is vital that as part of their whole school or college approach to safeguarding governing bodies and proprietors create a culture that safeguards and promotes the welfare of children in their school or college. As part of this culture, it is important that they adopt robust recruitment procedures that deter and prevent people who are unsuitable to work with children from applying for or securing employment, or volunteering opportunities in schools and colleges.

208. Governing bodies and proprietors should ensure that those involved with the recruitment and employment of staff to work with children have received appropriate safer recruitment training, the substance of which should at a minimum cover the content of this part (Part three) of this guidance.

209. The School Staffing (England) Regulations 2009<sup>1</sup> and the Education (Pupil Referral Units) (Application of Enactments) (England) Regulations 2007<sup>2</sup> require governing bodies of maintained schools and management committees of pupil referral units (PRUs) to ensure that at least one of the persons who conducts an interview has completed safer recruitment training. Governing bodies of maintained schools and management committees of PRUs may choose appropriate training and may take advice

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<sup>1</sup> [The School Staffing \(England\) Regulations 2009 \(legislation.gov.uk\)](#) regulation 9.

<sup>2</sup> [The Education \(Pupil Referral Units\) \(Application of Enactments\) \(England\) Regulations 2007 \(legislation.gov.uk\)](#)

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from the safeguarding partners in doing so.

## Advert

210. Schools and colleges should think about including the following information when defining the role (through the job or role description and person specification):

- the skills, abilities, experience, attitude, and behaviours required for the post, and
- the safeguarding requirements, i.e. to what extent will the role involve contact with children and will they be engaging in regulated activity relevant to children. See page 61 for further information about regulated activity.

211. The advert should include:

- the school's or college's commitment to safeguarding and promoting the welfare of children and make clear that safeguarding checks will be undertaken
- the safeguarding responsibilities of the post as per the job description and personal specification, and
- whether the post is exempt from the Rehabilitation of Offenders Act (ROA) 1974. The amendments to the ROA 1974 (Exceptions Order 1975, (amended 2013 and 2020)) provide that when applying for certain jobs and activities, certain spent convictions and cautions are 'protected', so they do not need to be disclosed to employers, and if they are disclosed, employers cannot take them into account. The MOJ's guidance on the [Rehabilitation of Offenders Act 1974 and the Exceptions Order 1975](#), provides information about which convictions must be declared during job applications and related exceptions and further information about filtering offences can be found in the [DBS filtering guide](#).

## Application forms

212. Where a role involves engaging in regulated activity relevant to children, schools and colleges should include a statement in the application form or elsewhere in the information provided to applicants that it is an offence to apply for the role if the applicant is barred from engaging in regulated activity relevant to children.<sup>3</sup>

213. Schools and colleges should also provide a copy of the school's or college's child protection policy and practices and policy on employment of ex-offenders in the application pack or refer to a link on its website.

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<sup>3</sup> [Section 7\(1\)\(a\) of the SVGA 2006 \(Legislation.gov.uk\)](#).

214. Schools and colleges should require applicants to provide:

- 
- personal details, current and former names, current address and national insurance number
  - details of their present (or last) employment and reason for leaving
  - full employment history, (since leaving school, including education, employment and voluntary work) including reasons for any gaps in employment
  - qualifications, the awarding body and date of award
  - details of referees/references (see below for further information), and
  - a statement of the personal qualities and experience that the applicant believes are relevant to their suitability for the post advertised and how they meet the person specification.

215. Schools and colleges should only accept copies of a curriculum vitae alongside an application form. A curriculum vitae on its own will not provide adequate information.

## Shortlisting

216. Shortlisted candidates should be asked to complete a self-declaration of their criminal record or information that would make them unsuitable to work with children. Self-declaration is subject to Ministry of Justice guidance on the disclosure of criminal records, further information can be found on [GOV.UK](https://www.gov.uk) For example:

- if they have a criminal history
- if they are included on the children's barred list
- if they are prohibited from teaching
- if they are prohibited from taking part in the management of an independent school
- information about any criminal offences committed in any country in line with the law as applicable in England and Wales, not the law in their country of origin or where they were convicted
- if they are known to the police and children's local authority social care
- if they have been disqualified from providing childcare (see paras 263-267), and,
- any relevant overseas information.

217. This information should only be requested from applicants who have been shortlisted. The information should not be requested in the application form to decide who should be shortlisted.

218. Applicants should be asked to sign a declaration confirming the information they have provided is true. Where there is an electronic signature, the shortlisted candidate should physically sign a hard copy of the application at point of interview.

219. The purpose of a self-declaration is so that candidates will have the opportunity to share relevant information and allow this to be discussed and considered at interview before the DBS certificate is received.

220. Schools and colleges should:

- ensure that at least two people carry out the shortlisting exercise (it is recommended that those who shortlist carry out the interview for a consistent approach)
- consider any inconsistencies and look for gaps in employment and reasons given for them, and,
- explore all potential concerns.

221. In addition, as part of the shortlisting process schools and colleges should consider carrying out an online search as part of their due diligence on the shortlisted candidates. This may help identify any incidents or issues that have happened, and are publicly available online, which the school or college might want to explore with the applicant at interview. Schools and colleges should inform shortlisted candidates that online searches may be done as part of due diligence checks. See Part two - Legislation and the Law for information on data protection and UK GDPR.

## **Employment history and references**

222. The purpose of seeking references is to allow employers to obtain factual information to support appointment decisions. Schools and colleges should obtain references before interview, where possible, this allows any concerns raised to be explored further with the referee and taken up with the candidate at interview.

223. Schools and colleges should:

- not accept open references e.g. to whom it may concern
- not rely on applicants to obtain their reference
- ensure any references are from the candidate's current employer and have been completed by a senior person with appropriate authority (if the referee is school or college based, the reference should be confirmed by the headteacher/principal as accurate in respect of any disciplinary investigations)

- obtain verification of the individual's most recent relevant period of employment where the applicant is not currently employed
- secure a reference from the relevant employer from the last time the applicant worked with children (if not currently working with children), if the applicant has

never worked with children, then ensure a reference from their current employer always verify any information with the person who provided the reference

- ensure electronic references originate from a legitimate source
- contact referees to clarify content where information is vague or insufficient information is provided
- compare the information on the application form with that in the reference and take up any discrepancies with the candidate
- establish the reason for the candidate leaving their current or most recent post, and,
- ensure any concerns are resolved satisfactorily before appointment is confirmed.

224. When asked to provide references, schools and colleges should ensure the information confirms whether they are satisfied with the applicant's suitability to work with children and provide the facts (not opinions) of any substantiated safeguarding concerns/allegations that meet the harm threshold. They should not include information about concerns/allegations which are unsubstantiated, unfounded, false, or malicious. Further guidance on references, including on the position regarding low-level concerns, is set out in Part four. References are an important part of the recruitment process and should be provided in a timely manner and not hold up proceedings. Any repeated concerns or allegations which do not meet the harm threshold which have all been found to be false, unfounded, unsubstantiated or malicious should not be included in any reference.

## **Selection**

225. Schools and colleges should use a range of selection techniques to identify the most suitable person for the post. Those interviewing should agree structured questions.

These should include:

- finding out what attracted the candidate to the post being applied for and their motivation for working with children
- exploring their skills and asking for examples of experience of working with children which are relevant to the role, and,
- probing any gaps in employment or where the candidate has changed employment or location frequently, asking about the reasons for this.

226. The interviews should be used to explore potential areas of concern and to determine the applicant's suitability to work with children. Areas that may be concerning and lead to further probing include:

- implication that adults and children are equal
- lack of recognition and/or understanding of the vulnerability of children
- inappropriate idealisation of children
- inadequate understanding of appropriate boundaries between adults and children, and,
- indicators of negative safeguarding behaviours.

227. Any information about past disciplinary action or substantiated allegations should be considered in the circumstances of the individual case.

228. Pupils/students should be involved in the recruitment process in a meaningful way. Observing short listed candidates and appropriately supervised interaction with pupils/students is common and recognised as good practice.

229. All information considered in decision making should be clearly recorded along with decisions made.

## **ii. Pre-appointment vetting checks, regulated activity and recording information**

230. This section provides the legal requirements that governing bodies and proprietors need to understand (and which **must** be carried out) when appointing individuals to engage in regulated activity relating to children. It covers the importance of ensuring the correct pre-appointment checks are carried out. These checks will help identify whether a person may be unsuitable to work with children (and in some cases is legally prohibited from working with children and/or working as a teacher). These checks should be seen as part of the wider whole school or college safeguarding regime, which will continue following appointment. This section also explains what information schools and colleges **must** record on the single central record.

231. The Education and Training (Welfare of Children) Act 2021 extended safeguarding provisions to providers of post 16 Education: **16-19 Academies, Special Post-16 institutions and Independent Training Providers**. Some safer recruitment regulations do not apply to these providers and as such some of the "musts" for colleges do not apply to them. These checks are an essential part of safeguarding, carried out to help employers check the suitability of candidates. Therefore, the providers set out above **should** carry out these pre-appointment checks. This has been made clear via footnotes.

232. All offers of appointment should be conditional until satisfactory completion of the mandatory pre-employment checks. All schools and colleges **must**:

- verify a candidate's identity, it is important to be sure that the person is who they claim to be, this includes being aware of the potential for individuals changing their name. Best practice is checking the name on their birth certificate, where this is available. Further identification checking guidelines can be found on the [GOV.UK](https://www.gov.uk) website<sup>59</sup>

obtain (via the applicant) an enhanced DBS check (including children's barred list information, for those who will be engaging in regulated activity with children).<sup>60 61 62 4</sup>

Note that when using the DBS update service, you still need to obtain the original physical certificate (see paragraphs 249-252)<sup>5</sup>

- obtain a separate children's barred list check if an individual will start work in regulated activity with children before the DBS certificate is available; See paragraph 261-262 on how to obtain a separate children's barred list check. **This does not apply to 16-19 Academies, Special Post-16 institutions and Independent Training Providers**<sup>6</sup>
- verify the candidate's mental and physical fitness to carry out their work responsibilities.<sup>66</sup> A job applicant can be asked relevant questions about disability and health in order to establish whether they have the physical and mental capacity for the specific role<sup>67,7</sup>
- verify the person's right to work in the UK, including EU nationals. If there is uncertainty about whether an individual needs permission to work in the UK, then schools and colleges should follow advice on the [GOV.UK](https://www.gov.uk) website

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<sup>4</sup> Regulation 5 of [The Further Education \(Providers of Education\) \(England\) Regulations 2006](#) applies to further education institutions. Further Education providers should also note Regulation 10 of the Further Education (Providers of Education) (England) Regulations 2006, which requires that members of staff (other than agency staff) who move from positions not involving the provision of education into a position involving the provision of education are to be treated as new staff members.

<sup>5</sup> See the status checking section of the [DBS update service employer guide](#)

<sup>6</sup> A separate barred list check is not available to these providers. As such they should not allow an individual to start work in regulated activity until they obtain an enhanced DBS plus barred list check.

<sup>66</sup> [Education \(Health Standards\) \(England\) Regulations 2003](#)<sup>67</sup> See legislation.gov.uk [Section 60 of the Equality Act 2010](#).

<sup>7</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers should - verify the candidate's mental and physical fitness to carry out their work responsibilities, check the person's right to work in the UK; make further checks if the candidate has lived or worked outside the UK and verify professional qualifications where appropriate.

<sup>59</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers should verify the candidate's identity.

<sup>60</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers must carry out a DBS check with barred list information as per their funding agreement.

<sup>61</sup> Where the individual will be or is engaging in regulated activity, schools and colleges will need to ensure that they confirm on the DBS application that they have the right to barred list information.

<sup>62</sup> Regulations 12 and 24 of [The School Staffing \(England\) Regulations 2009](#) for maintained schools also apply to the management committee of pupil referral units through the [Education \(Pupil Referral Units\) \(Application of Enactments\) \(England\) Regulations 2007](#). Part 4 of the Schedule to [The Education \(Independent School Standards\) Regulations 2014](#) applies to independent schools, including free schools and academies. The Schedule to [The Non-Maintained Special Schools \(England\) Regulations 2015](#) applies to non-maintained special schools.

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if the person has lived or worked outside the UK, make any further checks the school or college consider appropriate (see 280-285) and,

- verify professional qualifications, as appropriate. The Teaching Regulation Agency's (TRA) Employer Access Service should be used to verify any award of qualified teacher status (QTS), and the completion of teacher induction or probation.

In addition:

- independent schools, including academies and free schools, **must** check that a person taking up a management position as described at paragraph 256 is not subject to a section 128 direction made by the Secretary of State
- all schools **must** ensure that an applicant to be employed to carry out teaching work<sup>8</sup> is not subject to a prohibition order issued by the Secretary of State (see paragraph 253) for prohibition checks or any sanction or restriction imposed (that remains current) by the GTCE (see paragraph 255), before its abolition in March 2012
- before employing a person to carry out teaching work in relation to children, colleges **must**<sup>9</sup> take reasonable steps to establish whether that person is subject to a prohibition order issued by the Secretary of State
- all schools and colleges providing childcare<sup>10</sup> **must** ensure that appropriate checks are carried out to ensure that individuals employed to work in reception classes, or in wraparound care for children up to the age of 8, are not disqualified from working in these settings under the 2018 Childcare Disqualification Regulations. Further details about the application of these arrangements are provided at paragraphs 263-267.

## Applicant moving from previous post

233. 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:

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<sup>8</sup> [The Teachers' Disciplinary \(England\) Regulations 2012](#) define teaching work as: planned 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.

<sup>9</sup> Where employing teachers 16-19 Academies, Special Post-16 institutions and Independent Training Providers should contact [employer.access.gov.uk](http://employer.access.gov.uk) to check that the individual is not prohibited from teaching.

<sup>10</sup> [Childcare Act 2006 \(legislation.gov.uk\)](#) section 76(2).

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which brought the person regularly into contact with children, or

to which the person was appointed on or after 12<sup>th</sup> May 2006 and which did not bring the person regularly into contact with children or young persons, or

- in another 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.

234. For a college<sup>11</sup> there is no requirement 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 position which brought him or her regularly into contact with children aged under 18, or
- another institution within the further education sector in England, or in a 16 to 19 academy, in a position which involved the provision of education and caring for, training, supervising or being solely in charge of persons aged under 18.

235. Whilst there is no requirement to carry out an enhanced DBS check in the circumstances described above, schools or colleges should carefully consider if it would be appropriate to request one, to ensure they have up to date information. Schools and colleges **must** still carry out all other relevant pre-appointment checks (as listed at paragraph 232), including where the individual is engaging in regulated activity with children, a separate children's barred list check (see paragraph 262 on how to carry out a barred list check).

## Regulated activity

236. In summary, a person will be engaging in regulated activity with children if, as a result of their work, they:

- will be responsible, on a regular basis in a school or college, for teaching, training instructing, caring for or supervising children

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<sup>11</sup> The three-month rule does not apply for 16-19 Academies, Special Post-16 institutions and Independent Training Providers. An enhanced DBS certificate (with barred list information where appropriate) is required.

- - will be working on a regular basis in a specified establishment, such as a school, or in connection with the purposes of the establishment, where the work gives opportunity for contact with children, or

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engage in intimate or personal care or healthcare or any overnight activity, even if this happens only once.

Further details on regulated activity below.

## Regulated activity

The full legal definition of regulated activity is set out in Schedule 4 of the Safeguarding Vulnerable Groups Act 2006 as amended by the Protection of Freedoms Act 2012. HM Government has produced [Factual note on regulated activity in relation to children: scope](#).

Regulated activity includes:

- a. teaching, training, instructing, caring for (see (c) below) or supervising children if the person is unsupervised, or providing advice or guidance on physical, emotional or educational well-being, or driving a vehicle only for children;
- b. work for a limited range of establishments (known as 'specified places', which include schools and colleges), with the opportunity for contact with children, but not including work done by supervised volunteers.

Work under (a) or (b) is regulated activity only if done regularly.<sup>12</sup> Some activities are always regulated activities, regardless of frequency or whether they are supervised or not. This includes:

- c. relevant personal care, or health care provided by or provided under the supervision of a health care professional:

○ personal care includes helping a child with eating and drinking for reasons of illness or disability or in connection with toileting, washing, bathing and dressing for reasons of age, illness or disability;<sup>74</sup> ○ health care means care for children provided by, or under the direction or supervision of, a regulated health care professional.

Regulated activity will not be:

- paid work in specified places which is occasional and temporary and does not involve teaching, training; and
- supervised activity which is paid in non-specified settings such as youth clubs, sports clubs etc.

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<sup>12</sup> The Safeguarding Vulnerable Groups Act 2006 provides that the type of work referred to at (a) or (b) will be regulated activity if "it is carried out frequently by the same person" or if "the period condition is satisfied". Paragraph 10 of Schedule 4 to this Act says the period condition is satisfied if the person carrying out the activity does so at any time on more than three days in any period of 30 days and, for the purposes of the work referred to at (a), apart from driving vehicle only for children, it is also satisfied if it is done at any time between 2am and 6am and it gives the person the opportunity to have face to face contact with children.

## Types of DBS checks

237. These are the types of checks available.

- **Basic DBS check** – this provides details of convictions and conditional cautions considered to be ‘unspent’ under the terms of the Rehabilitation of Offenders Act 1974.
- **Standard DBS check** –this provides information about convictions, cautions, reprimands and warnings held on the Police National Computer (PNC), regardless or not of whether they are spent under the Rehabilitation of Offenders Act 1974. The law allows for certain old and minor matters to be filtered out.
- **Enhanced DBS check** – this provides the same information about convictions, cautions, reprimands and warnings held on the Police National Computer (PNC) as a Standard DBS check, plus additional information held by the police such as interviews and allegations. Additional information will only be disclosed where a chief police officer reasonably believes it to be relevant and considers that it ought to be disclosed. The position being applied for/or activities being undertaken **must** be covered by an exempted question in the Rehabilitation of Offenders Act 1974

(Exceptions) Order 1975 and by provisions in the Police Act 1997 (Criminal Records) Regulations 2002.<sup>75</sup>

- **Enhanced DBS check with children’s barred list information** – where people are working or seeking to work in regulated activity relating to children, this allows an additional check, to be made, about whether the person appears on the children’s barred list, along with a check of the Police National Computer records plus additional information held by the police as above. The position being applied for or activities being undertaken **must** be eligible for an enhanced DBS check as above and be for a purpose listed in the Police Act 1997 (Criminal Records) (No2) Regulations 2009 as qualifying for a barred list(s) check. In addition, this check **can** also include information as to whether an individual is subject to a section 128

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<sup>74</sup> It is not intended that personal care includes such activities as, for example, parent volunteers helping with costumes for school plays or helping a child lace up football boots.

<sup>75</sup> This legislation does not provide a list of job roles that are eligible for this check – such a list does not exist. Instead, [The Rehabilitation of Offenders Act 1974 \(Exceptions\) Order 1975](#) sets out the ‘exempted questions’ for which a Standard DBS check can be obtained. Similarly, [The Police Act 1997 \(Criminal Records\) Regulations 2002](#) set out the purposes for which an Enhanced DBS check can be obtained, and [The Police Act 1997 \(Criminal Records\) \(No 2\) Regulations 2009](#) list the circumstances in which an application for an Enhanced DBS check can also include suitability information relating to children (a children’s barred list check and confirmation as to whether an individual is subject to a s.128 direction). It is important to note that the Regulations can also remove roles, duties or activities through the removal of an exempted question or of a particular purpose.

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Any individual (including an applicant for a job which does not involve working with children) can be asked to apply for a Basic criminal record check. This will show only unspent convictions and cautions. Further details can be found on [gov.uk](https://www.gov.uk).  
direction. However, they have to use specific wording in the position applied for field (see paragraph 259).

### Considering which type of check is required

238. Most staff in a school and those in colleges working with children will be engaging in regulated activity relating to children, in which case an enhanced DBS check which includes children's barred list information, will be required.

239. For all other staff (e.g. contractors) who have an opportunity for regular contact with children who are not engaging in regulated activity, an enhanced DBS certificate, which does not include a barred list check, will be appropriate.

240. Barred list information **must not** be requested on any person who is not engaging in or seeking to engage in regulated activity.

241. The flowchart below (page 65) provides more information on the decision making process.

242. Where a DBS certificate is required, it **must** be obtained from the candidate before, or as soon as practicable after, the person's appointment, including when using the DBS update service (see paragraph 249 - 252).

243. Once the checks are complete, the DBS will send a DBS certificate to the applicant. The applicant **must** show the original paper DBS certificate to their potential employer before they take up post, or as soon as practicable afterwards. Schools and colleges will be able to compare any information disclosed on the certificate with any information shared by the applicant during the recruitment process. DBS guidance on how to check a DBS certificate can be found on [GOV.UK](https://www.gov.uk).

244. Schools and colleges should assess cases fairly, on an individual basis. A decision not to appoint somebody because of their conviction(s) should be clearly documented, so if challenged the school or college can defend its decision, in line with its policy on the recruitment of ex-offenders.

245. When assessing any disclosure information on a DBS certificate, schools and colleges should take into consideration the explanation from the applicant, including for example:

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

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246. The school or college should also consider the incident in the context of the [Teachers' standards](#) and [Teacher misconduct guidance](#), if the applicant is applying for a teaching post.

247. Where a school or college allows an individual to start work in regulated activity relating to children before the DBS certificate is available, it should ensure that the individual is appropriately supervised and that they carry out **all other** checks, including a separate **children's barred list check**<sup>13</sup>, see paragraph 261 - 262.

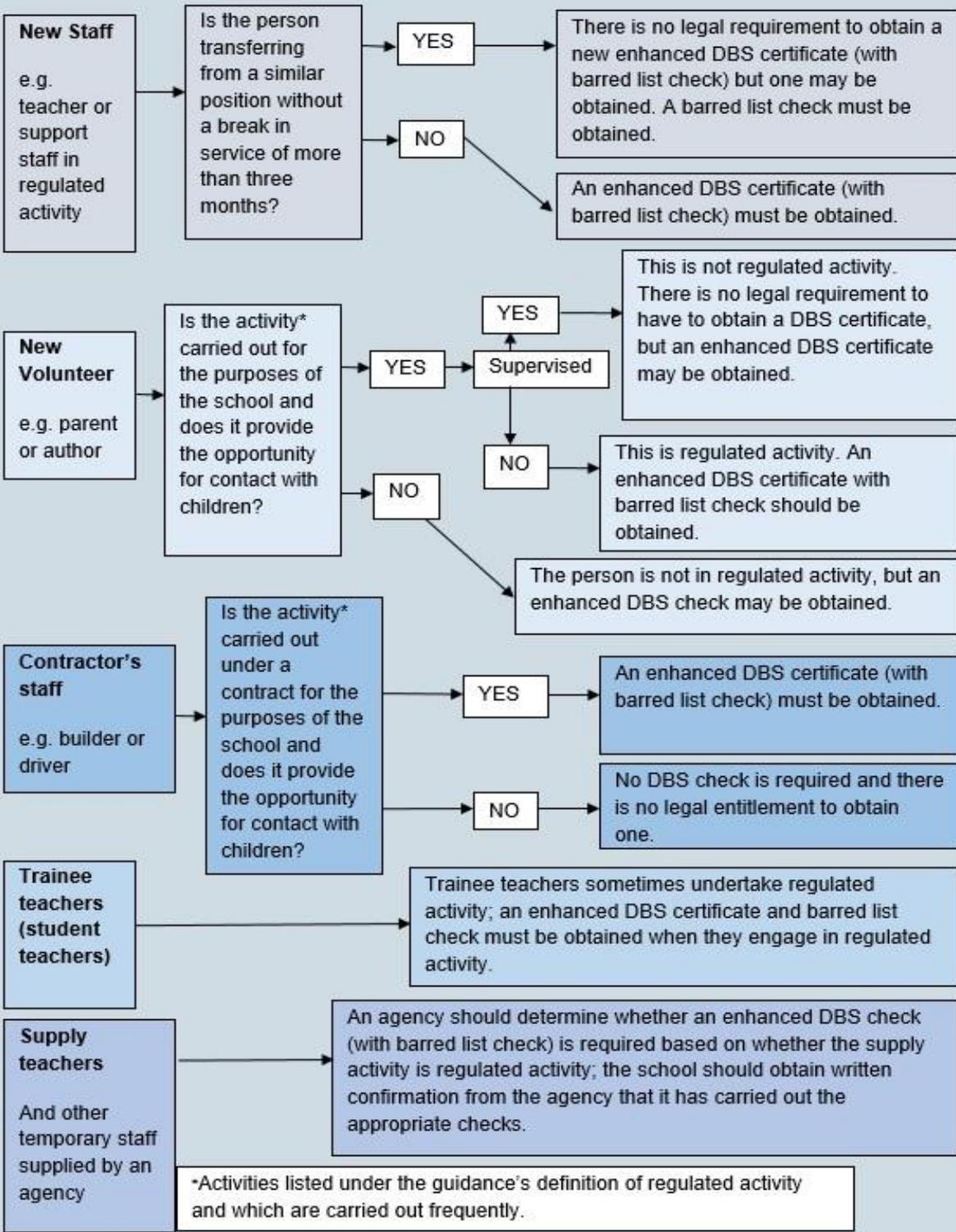
248. Separate barred list checks **must** only be carried out in the following circumstances:

- for newly appointed staff who are engaging in regulated activity, pending the receipt of an Enhanced Certificate with Barred List information from the Disclosure and Barring Service (DBS) (and where all other relevant checks as per paragraph 232 have been carried out), or
- where an individual has worked in a post in a school or college that brought them into regular contact with children or young persons which ended not more than three months prior to that person's appointment to the organisation (and where all other relevant checks as per paragraph 232 have been carried out).

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<sup>13</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers do not have access to standalone barred list check and as such should not allow someone to start work in regulated activity without an enhanced DBS certificate (with barred list information).

**FLOWCHART OF DISCLOSURE AND BARRING SERVICE CRIMINAL RECORD CHECKS AND BARRED LIST CHECKS**



## DBS Update Service

249. Individuals can join the DBS Update Service<sup>14</sup> at the point that an application for a new DBS check is made. Subscription to the service enables future status checks to be carried out by employers to confirm that no new information has been added to the check since its issue.

250. As good practice, many schools and colleges require new staff to join the Update Service as part of their employment contract. The benefits of joining the Update Service are:

- portability of a DBS check across employers
- free online checks to identify whether there has been any change to the information recorded, since the initial certificate was issued and advice whether the individual should apply for a new DBS check, and,
- that individuals will be able to see a full list of those organisations that have carried out a status check on their account.

251. Before using the Update Service, schools and colleges **must**:

- obtain consent from the individual to carry out an online check to view the status of an existing standard or enhanced DBS check
- confirm the DBS certificate matches the individual's identity
- examine the original certificate to ensure that it is valid for employment with the children's workforce, and,
- ensure that the level of the check is appropriate to the job they are applying for,

e.g. enhanced DBS check/enhanced DBS check including with barred list information.

252. Further information about the Update Service, including when updated information can be used, can be found on [GOV.UK](https://www.gov.uk).

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<sup>14</sup> [DBS Update Service - GOV.UK \(www.gov.uk\)](https://www.gov.uk) please note there is an annual fee for applicants using the update service.

## Prohibitions, directions, sanctions and restrictions

### Secretary of State teacher prohibition, and interim prohibition orders<sup>78</sup>

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253. Teacher prohibition and interim prohibition orders prevent a person from carrying out teaching work as defined in the Teachers' Disciplinary (England) Regulations 2012 in schools, sixth form colleges, 16-19 academies, relevant youth accommodation and children's homes in England. Further information about the duty to consider referring to the Teaching Regulation Agency (TRA) can be found at paragraph 351. Teacher prohibition orders are made by the Secretary of State following consideration by a professional conduct panel convened by the 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. The TRA's role in making prohibition orders and the processes used to impose them are described in more detail in the publications "[Teacher misconduct: disciplinary procedures for the teaching profession](#)" and "[Teacher misconduct: the prohibition of teachers: Advice on factors relating to decisions leading to the prohibition of teachers from the teaching profession](#)".

254. A person who is prohibited **must not** be appointed to a role that involves teaching work (as defined in the Teachers' Disciplinary (England) Regulations 2012) (see footnotes 78 and 79).

### Historic General Teaching Council for England (GTCE) sanctions and restrictions

255. There are a number of individuals who are still subject to disciplinary sanctions, which were imposed by the GTCE (prior to its abolition in 2012). See paragraph 262 for login details to the TRA Secure Access system where GTCE checks can be made.

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<sup>78</sup> Prohibition orders are made by the Secretary of State under section [141B of the Education Act 2002](#). [The Teachers' Disciplinary \(England\) Regulations 2012](#) apply to schools and sixth form colleges and any person that is subject to a prohibition order is prohibited from carrying out teaching work in those establishments. By virtue of their Conditions of Funding in respect of funding received from the Education and Skills Funding Agency, colleges may not employ or engage a person who is subject to a prohibition order to carry out teaching work.

<sup>79</sup> The School Staffing (England) Regulations 2009, the Non-Maintained Special Schools (England) Regulations 2015 and the Education (Independent School Standards) Regulations 2014 require governing bodies or proprietors (of schools and sixth form colleges) to check that a person to be appointed is not subject to an interim prohibition order. By virtue of their Conditions of Funding in respect of funding received from the Education and Skills Funding Agency, before employing a person

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to carry out teaching work in relation to children, colleges must take reasonable steps to establish whether that person is subject to an interim prohibition order made under section 141B of the Education Act 2002.

## Secretary of State section 128 direction

256. A section 128 direction prohibits or restricts an unsuitable individual from participating in the management of an independent school, including academies and free schools. An individual who is subject to a section 128 direction is unable to:

- take up a management position in an independent school, academy, or in a free school as an employee
- be a trustee of an academy or free school trust; a governor or member of a proprietor body of an independent school, or
- be a governor on any governing body in an independent school, academy or free school that retains or has been delegated any management responsibilities.

257. There is no exhaustive list of roles that might be regarded as 'management' for the purpose of determining what constitutes management in an independent school. The Department's view is that roles involving, or very likely to involve, management of a school include (but are not limited to) headteachers, principals, deputy/assistant headteachers, governors and trustees. It is important to note that the individual's job title is not the determining factor and whether other individuals such as teachers with additional responsibilities could be considered to be 'taking part in management' depends on the facts of the case.<sup>15</sup>

258. The grounds on which a section 128 direction may be made by the Secretary of

State are set out in The Independent Educational Provision in England (Prohibition on Participation in Management) Regulations 2014<sup>16</sup> made under section 128 of the Education and Skills Act 2008.

259. A section 128 direction will be disclosed when an enhanced DBS check with children's barred list information is requested, provided that 'child workforce independent schools' is specified on the application form as the position applied for. Where a person is not eligible for a children's barred list check but will be working in a management position in an independent school, a section 128 check should be carried out using the TRA's Employer Access service.

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<sup>15</sup> The Independent Educational Provision in England (Prohibition on Participation in Management) [Regulations 2014](#).

<sup>16</sup> See the 2014 Regulations: <https://www.legislation.gov.uk/uksi/2014/1977/regulation/1/made>

- 260. A person subject to a section 128 direction is also disqualified from holding or continuing to hold office as a governor of a maintained school.<sup>17</sup>

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## How to check TRA, Teacher Employer Access service for prohibitions, directions, sanctions and restrictions

261. Schools and colleges<sup>18</sup> can use the TRA's Employer Access service to make prohibition, direction, restriction, and children's barred list checks. The service is free to use and is available via the TRA's [web page](#). Users will require a DfE Sign-in account to log onto the service.

262. Further information about obtaining a DfE Sign-in account and using the Employer Access service to carry out a range of 'teacher status checks'<sup>19</sup> including verification of qualified teacher status (QTS) and the completion of teacher induction or teacher probation can be found on [GOV.UK](#).

## Childcare disqualification

263. Childcare disqualification is an additional requirement to the general child safeguarding arrangements provided under the Disclosure and Barring Service (DBS) regime, which apply to all children.

264. The childcare disqualification arrangements apply to staff working with young children in childcare settings, including primary schools, nurseries and other registered settings, such as childcare provision on college sites.

265. The arrangements predominantly apply to individuals working with children aged 5 and under, including reception classes, but also apply to those working in wraparound care for children up to the age of 8, such as breakfast clubs and after school care.

266. For staff who work in childcare provision, or who are directly concerned with the management of such provision, employers need to ensure that appropriate checks are carried out to ensure that individuals are not disqualified under the [Childcare Disqualification Regulations 2018](#).

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<sup>17</sup> As barred list information is required to be requested only for those school governors who are engaging in regulated activity, when proposing to recruit a governor who will not work in regulated activity, schools and colleges should use the Secure Access Portal to check whether the person is barred as a result of being prohibited under s.128.

<sup>18</sup> Where employing teachers 16-19 Academies, Special Post-16 institutions and Independent Training Providers should contact [employer.access.gov.uk](#) to check that the individual is not prohibited from teaching. They must also obtain an enhanced DBS with barred list information for those working in regulated activity.

<sup>19</sup> The Teacher Services' system can also be used to check for the award of qualified teacher status (QTS) and the completion of teacher induction or prohibition.

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267. Further information on the staff to whom these Regulations apply, the checks that should be carried out, and the recording of those checks can be found in statutory guidance [Disqualification under the Childcare Act 2006](#).

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## Recording information

### Single central record

268. Schools and colleges **must**<sup>85</sup> maintain a single central record of pre-appointment checks, referred to in the Regulations<sup>86</sup> as “the register” and more commonly known as “the single central record”.

269. The single central record **must** cover the following people:

- **for schools, all** staff, including teacher trainees on salaried routes (see paragraph 296), agency and third-party supply staff, even if they work for one day, (see paragraph 286)
- **for colleges**, details of staff, including agency and supply staff providing education to children under the age of 18, and,
- **for independent schools**, all members of the proprietor body. In the case of academies and free schools, this means the members and trustees of the academy trust.

270. The minimum information that **must** be recorded in respect of staff members (including teacher trainees on salaried routes) is set out below. For agency and third-party supply staff, schools and colleges **must** include whether written confirmation has been received that the employment business supplying the member of supply staff has carried out the relevant checks and obtained the appropriate certificates, the date this confirmation was received and whether details of any enhanced DBS certificate have been provided in respect of the member of staff.<sup>87</sup>

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

- an identity check, (identification checking guidelines can be found on the [GOV.UK](#) website)

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<sup>85</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers should maintain a single central record. Information they should record is set out at paragraphs 271. As with other schools and colleges they may record the information as set out at paragraphs 273.

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<sup>86</sup> Regulations 12(7) and 24(7) and Schedule 2 to the School Staffing (England) Regulations 2009 and the School Staffing (England) (Amendment) Regulations 2013 (applied to pupil referral units through the Education (Pupil Referral Units) (Application of Enactments) (England) Regulations 2007); Part 4 of the Schedule to the Education (Independent School Standards) Regulations 2014; Regulations 20-25 and the Schedule to the Further Education (Providers of Education) (England) Regulations 2006; and Regulation 3 and paragraph 7 of Part 1 and paragraph 18 of Part 2 of the Schedule to the Non-Maintained Special Schools (England) Regulations 2015.

<sup>87</sup> Independent schools and non-maintained special schools should also include the date on which any certificate was obtained.

- a standalone children's barred list check<sup>20</sup>
- an enhanced DBS check (with children's barred list check) requested/certificate provided
- a prohibition from teaching check<sup>21</sup>
- further checks on people who have lived or worked outside the UK (see paragraphs 280-285)
- a check of professional qualifications, where required, and,
- a check to establish the person's right to work in the United Kingdom.

In addition:

- colleges<sup>22</sup> **must** record whether the person's position involves 'relevant activity',

i.e. regularly caring for, training, supervising or being solely in charge of persons aged under 18, and

- independent schools (including academies and free schools) **must** record details of the section 128 checks undertaken for those in management positions.

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

### Non statutory information

273. Schools and colleges are free to record any other information they deem relevant. For example:

- whether relevant staff have been informed of their duty to disclose relevant information under the childcare disqualification arrangements
- checks made on volunteers

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<sup>20</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers cannot carry out a separate barred list check and as such, in relation to regulated activity, must always obtain an enhanced DBS with barred list check where required.

<sup>21</sup> There is no requirement for colleges to record this information, however, as part of the funding agreement colleges must have robust record keeping procedures in place.

<sup>22</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers are not required to record whether the person's position involves 'relevant activity'. However, these providers should have robust record keeping procedures in place.

- - checks made on governors
    - dates on which safeguarding and safer recruitment training was undertaken, and
    - the name of the person who carried out each check.
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274. The single central record can be kept in paper or electronic form.

### **Multi Academy Trusts (MATs)**

275. MATs **must** maintain the single central record detailing checks carried out in each academy within the MAT. Whilst there is no requirement for the MAT to maintain an individual record for each academy, the information should be recorded in such a way that allows for details for each individual academy to be provided separately, and without delay, to those entitled to inspect that information, including by inspectors.

### **Retention of documents**

276. Copies of documents used to verify the successful candidate's identity, right to work and required qualifications should be kept on their personnel file as per the advice at paragraph 232.

Copies of DBS certificates and records of criminal information disclosed by the candidate are covered by UK GDPR/DPA 2018 Article 10. To help schools and colleges comply with the requirements of the Data Protection Act 2018, when a school or college chooses to retain a copy, there should be a valid reason for doing so and it should not be kept for longer than six months. When the information is destroyed a school or college may keep a record of the fact that vetting was carried out, the result and the recruitment decision taken if they choose to. Schools and colleges **do not have** to keep copies of DBS certificates, in order to fulfil the duty of maintaining the single central record.

277. Further information on handling DBS information can be found on [GOV.UK](https://www.gov.uk).

### **iii. Other checks that may be necessary for staff, volunteers and others, including the responsibilities on schools and colleges for children in other settings**

278. This section sets out other legal requirements i.e. 'must' do or as appropriate 'should' do for individuals who have lived or worked outside the UK; agency and thirdparty staff; contractors; trainee teachers; volunteers; governors and proprietors.

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It also sets out responsibilities placed on schools and colleges in relation to other settings, including alternative provision, work experience and host families.

## Individuals who have lived or worked outside the UK

279. Individuals who have lived or worked outside the UK **must**<sup>23</sup> undergo the same checks as all other staff in schools or colleges (set out in paragraphs 232). This includes obtaining (via the applicant) an enhanced DBS certificate (including children's barred list information, for those who will be engaging in regulated activity) even if the individual has never been to the UK. In addition, schools and colleges **must**<sup>24</sup> make any further checks **they think appropriate** so that any relevant events that occurred outside the UK can be considered. Following the UK's exit from the EU, schools and colleges should apply the same approach for any individuals who have lived or worked outside the UK regardless of whether or not it was in an EEA country or the rest of the world.

These checks **could** include, where available:

- criminal records checks for overseas applicants - Home Office guidance can be found on [GOV.UK](https://www.gov.uk); and for teaching positions
- obtaining a letter (via the applicant) from the professional regulating authority (this is often the Department/Ministry of Education but varies across the world) in the country (or countries) in which the applicant has worked confirming that they have not imposed any sanctions or restrictions, and or that they are aware of any reason why they may be unsuitable to teach. Applicants can find contact details of regulatory bodies in the EU/EEA and Switzerland on the [Regulated Professions database](#). Whilst the safeguarding and qualified teacher status (QTS) processes are different it is likely that this information will be obtained from the same place, therefore applicants can also contact the [UK Centre for Professional Qualifications](#) who will signpost them to the appropriate EEA regulatory body.

280. **Where available**, such evidence can be considered together with information obtained through other pre-appointment checks to help assess their suitability.

281. **Where this information is not available** schools and colleges should seek alternative methods of checking suitability and or undertake a risk assessment that supports informed decision making on whether to proceed with the appointment.

282. Although sanctions and restrictions imposed by another regulating authority do not prevent a person from taking up teaching positions in England, schools and colleges should consider the circumstances that led to the restriction or sanction

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<sup>23</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers should ensure individuals undergo the same checks.

<sup>24</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers should make any further checks

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being imposed when considering a candidate's suitability for employment. Further information can be

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found in DfE Guidance: [Recruit teachers from overseas](#).

283. Not all countries provide criminal record information, and where they do, the nature and detail of the information provided varies from country to country. Schools and colleges should also be mindful that the criteria for disclosing offences in other countries often have a different threshold than those in the UK. The Home Office provides guidance on criminal records checks for overseas applicants which can be found on [GOV.UK](#).

284. Some overseas qualified teachers can apply to the TRA for the award of qualified teacher status (QTS) in England. More information about this is available [here](#). It is important to note that holding a teaching qualification (wherever it was obtained) does not provide suitable assurances for safeguarding purposes that an individual has not been found guilty of any wrongdoing or misconduct, and or is suitable to work with children.

### **Agency and third-party staff (supply staff)**

285. Schools and colleges **must**<sup>25</sup> obtain written notification from any agency, or third party organisation, that they have carried out the same checks as the school or college would otherwise perform on any individual who will be working at the school or college (or who will be providing education on the school or college's behalf, including through online delivery).<sup>26</sup> In respect of the enhanced DBS check, schools and colleges **must**<sup>95</sup> ensure that written notification confirms the certificate has been obtained by either the employment business or another such business.

286. Where the agency or organisation has obtained an enhanced DBS certificate before the person is due to begin work at the school or college, which has disclosed any matter or information, or any information was provided to the employment

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<sup>25</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers should obtain written notification regarding checks when they use agency or third-party staff.

<sup>26</sup> Colleges must comply with regulations 11 to 19 of The Further Education (Providers of Education) (England) Regulations 2006 in respect of agency workers; maintained schools must comply with regulations 18 and 30 of the School Staffing (England) Regulations 2009; non-maintained special schools must comply with paragraphs 5 and 16 of the Schedule to The Non-Maintained Special Schools (England) Regulations 2015; and independent schools (including academies and free schools) must comply with paragraph 19 of the Schedule to The Education (Independent School Standards) Regulation 2014. <sup>95</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers should ensure that written notification confirms the certificate has been obtained by either the employment business or another such business.

- business, the school or college **must**<sup>27</sup> obtain a copy of the certificate from the agency.

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287. Where the position requires a children's barred list check, this **must**<sup>28</sup> be obtained by the agency or third party by obtaining an enhanced DBS certificate with children's barred list information, prior to appointing the individual.

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

## Contractors

289. Where schools and colleges use contractors to provide services, they should set out their safeguarding requirements in the contract between the organisation and the school or college.

290. Schools and colleges should ensure that any contractor, or any employee of the contractor, who is to work at the school or college, has been subject to the appropriate level of DBS check. Contractors engaging in regulated activity relating to children will require an enhanced DBS check (including children's barred list information).

291. For all other contractors who are not engaging in regulated activity relating to children, but whose work provides them with an opportunity for regular contact with children, an enhanced DBS check (not including children's barred list information) will be required.<sup>29</sup> In considering whether the contact is regular, it is irrelevant whether the contractor works on a single site or across several sites. In cases where the contractor does not have opportunity for regular contact with children, schools and colleges should decide on whether a basic DBS disclosure would be appropriate.

292. Under no circumstances should a contractor on whom no checks have been obtained be allowed to work unsupervised or engage in regulated activity relating to children. Schools and colleges are responsible for determining the appropriate level of supervision depending on the circumstances.

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<sup>27</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers should obtain a copy of the certificate in such circumstances.

<sup>28</sup> Where using a third party 16-19 Academies, Special Post-16 institutions and Independent Training Providers should ensure a DBS with barred list information is obtained for those engaging in regulated activity.

<sup>29</sup> It will only be possible to obtain an enhanced DBS certificate for contractors in colleges which are exclusively or mainly for the provision of full-time education to children.

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293. If an individual working at a school or college is self-employed, the school or college 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.

294. Schools and colleges should always check the identity of contractors on arrival at the school or college.

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## Trainee/student teachers

295. Where applicants for initial teacher training are salaried by the school or college, the school or college **must**<sup>30</sup> ensure that all necessary checks are carried out. If these trainee teachers are engaging in regulated activity relating to children (which in most cases by the nature of the work, they will be), an enhanced DBS check (including children's barred list information) **must**<sup>31</sup> be obtained.

296. Where trainee teachers are fee-funded, it is the responsibility of the initial teacher training provider to carry out the necessary checks. Schools and colleges should obtain written confirmation from the provider that it has carried out all pre-appointment checks that the school or college would otherwise be required to perform, and that the trainee has been judged by the provider to be suitable to work with children.

297. There is no requirement for the school or college to record details of fee-funded trainees on the single central record. However, schools and colleges may wish to record this information under non statutory information, see paragraph 273.

## Visitors

298. Schools and colleges have different types of visitors, those with a professional role i.e. educational psychologists, social workers etc. those connected with the building, grounds maintenance, children's relatives or other visitors attending an activity in school such as a sports day. For visitors provided via a third party see paragraphs 286-289.

299. Schools and colleges should not request DBS checks or barred list checks, or ask to see existing DBS certificates, for visitors such as children's relatives or other visitors attending a sports day.

300. Headteachers and principals should use their professional judgement about the need to escort or supervise such visitors.

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<sup>30</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers should ensure all necessary checks are carried out.

<sup>31</sup> 16-19 Academies, Special Post-16 institutions and Independent Training Providers must ensure an enhanced DBS check with barred list information is obtained as per their funding agreement.

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301. For visitors who are there in a professional capacity schools and colleges should check ID and be assured that the visitor has had the appropriate DBS check (or the visitor's employers have confirmed that their staff have appropriate checks. Schools and colleges should not ask to see the certificate in these circumstances).

302. Whilst external organisations can provide a varied and useful range of information, resources and speakers that can help schools and colleges enrich children's education, careful consideration should be given to the suitability of any external organisations.

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303. School and college safeguarding policies should set out the arrangements for individuals coming onto their premises, which may include an assessment of the education value, the age appropriateness of what is going to be delivered and whether relevant checks will be required.

## Volunteers

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

305. Whilst volunteers play an important role and are often seen by children as being safe and trustworthy adults, the nature of voluntary roles varies, so schools and colleges should undertake a written risk assessment and use their professional judgement and experience when deciding what checks, if any, are required.

306. The risk assessment should consider:

- the nature of the work with children, especially if it will constitute regulated activity, including the level of supervision
- 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 their suitability, and
- whether the role is eligible for a DBS check, and if it is, the level of the check, for volunteer roles that are not in regulated activity.

307. Details of the risk assessment should be recorded.<sup>32</sup>

## When should a DBS with barred list be obtained for volunteers<sup>33</sup>?

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<sup>32</sup> Schools and colleges are free to determine where to store this information.

<sup>33</sup> The DBS does not charge for checks on volunteers. However, if schools or colleges use an external organisation to carry out the check, there may be an administration charge.

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308. Schools or colleges should obtain an enhanced DBS check (which should include children's barred list information) for all volunteers who are new to working in regulated activity with children, i.e. where they are unsupervised and teach or look after children regularly or provide personal care on a one-off basis in schools and colleges. See Annex E for statutory supervision guidance. Employers are not legally permitted to request barred list information on a supervised volunteer, as they are not considered to be engaging in regulated activity.

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## Supervision of volunteers

309. It is for schools and colleges to determine whether a volunteer is considered to be supervised. Where an individual is supervised, to help determine the appropriate level of supervision, all schools and colleges<sup>34</sup> **must** have regard to the statutory guidance issued by the Secretary of State (replicated at Annex E).

310. For a person to be considered supervised, the supervision **must** be:

- by a person who is in regulated activity relating to children<sup>104</sup>
- regular and day to day, and
- reasonable in all the circumstances to ensure the protection of children.

## Existing volunteers

311. Volunteers do not have to be re-checked if they have already had a DBS check (which should include children's barred list information if engaging in regulated activity). However, if the school or college have any concerns, they should consider obtaining a new DBS check at the level appropriate to the volunteering role.

## Maintained school governors

312. Governors in maintained schools are required to have an enhanced DBS check.<sup>35</sup> It is the responsibility of the governing body to apply for the certificate for any governors who do not already have one.

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<sup>34</sup> This also applies to 16-19 Academies, Special Post-16 institutions and Independent Training Providers <sup>104</sup> It should be noted that if the work is in a specified place such as a school, paid workers remain in regulated activity even if supervised.

<sup>35</sup> The School Governance (Constitution) (England) Regulations 2012 were amended by the School Governance (Constitution and Federations) (England) (Amendment) Regulations 2016 to include this requirement.

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313. Governance is not a regulated activity relating to children, so governors do not need a children's barred list check unless, in addition to their governance duties, they also engage in regulated activity.

314. Schools should also carry out a section 128 check for school governors, because a person prevented from participating in the management of an independent school by a section 128 direction, is also disqualified from being a governor of a maintained school. Using the free Employer Secure Access sign-in portal via the TRA Teacher Services web page, schools can check if a person they propose to recruit as a governor is barred as a result of being subject to a section 128 direction. There is no requirement for schools to record this information on the single central record, but they can if they chose to.

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315. Associate members are appointed by the governing body to serve on one or more governing body committees. The School Governance (Constitution and Federations) (England) (Amendment) Regulations 2016 which make enhanced DBS checks mandatory for maintained school governors do not apply to associate members, and so there is no requirement for them to be checked unless they also engage in regulated activity at their school.

## **Sixth form college governors**

316. Governing bodies in sixth form colleges can request an enhanced DBS check without a children's barred list check.

317. An enhanced DBS check with children's barred list information should only be requested if the governor will be engaging in regulated activity relating to children.

## **Proprietors of independent schools, including academies and free schools and proprietors of alternative provision academies<sup>36</sup>**

318. Before an individual becomes either the proprietor of an independent school or the chair of a body of people which is the proprietor of an independent school, the Secretary of State will:<sup>37 108</sup>

- carry out an enhanced DBS check; and where such a check is made, obtain an enhanced DBS certificate (either including or not including children's barred list information as appropriate)<sup>38</sup>

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<sup>36</sup> The proprietor of an academy or free school or alternative provision academy or free school is the academy trust.

<sup>37</sup> Paragraph 20 of the Schedule to the Education (Independent Schools Standards) Regulation 2014. <sup>108</sup> This will include an academy trust of any academy or free school, other than for 16-19 academies or free schools.

- confirm the individual's identity, and
- if the individual lives or has lived outside of the UK, where applying for an enhanced check is insufficient, such other checks as the Secretary of State considers appropriate.

319. The Secretary of State also undertakes these checks in respect of the chair of governing bodies of non-maintained special schools.<sup>39</sup>

320. The requirement for an enhanced DBS check and certificate is disapplied for the

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chair of an academy trust if the academy is converting from a maintained school and the person has already been subject to a check carried out by the local authority.<sup>40</sup>

321. Where the proprietor is a body of people (including a governing body in an academy or free school), the chair **must** ensure that enhanced DBS checks are undertaken, for the other members of the body, and that where such a check has been undertaken, an enhanced DBS certificate is obtained, and the chair **must** ensure that identity checks are completed before, or as soon as practicable after, any individual takes up their position.

322. The chair **must** also ensure that other members are not subject to a section 128 direction that would prevent them from taking part in the management of an independent school (including academies and free schools).

323. Further checks, as the chair considers appropriate, **should** be undertaken where, by reason of the individual's living or having lived overseas, obtaining an enhanced DBS check is not sufficient to establish an individual's suitability to work in a school.

324. In the case of an academy trust, including those established to operate a free school, the trust **must** require enhanced DBS checks on all members of the academy trust, individual charity trustees, and the chair of the board of charity trustees.<sup>112</sup> Academy trusts, including those established to run a free school, have the same responsibilities as all independent schools in relation to requesting enhanced DBS checks for permanent and supply staff.<sup>41</sup>

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<sup>38</sup> Regulation 2(5) of the Education (Independent School Standards) Regulations 2014 sets out when such checks are considered relevant.

<sup>39</sup> Paragraphs 6 and 17 of the Schedule to The Non-Maintained Special Schools (England) Regulations 2015.

<sup>40</sup> Paragraph 20(7) of the Schedule to the Education (Independent School Standards) Regulations 2014. <sup>112</sup> As required in the [Academy Trust Handbook](#) which academy trusts must comply with as a condition of their funding agreement.

<sup>41</sup> The Education (Independent School Standards) Regulations 2014. The regulations do not apply to 1619 free schools and academies.

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325. Where an academy trust delegates responsibilities to any delegate or committee (including a local governing body), the trust **must** require an enhanced DBS check on all delegates and all members of such committees.<sup>42</sup> Academy trusts **must** also check that members are not disqualified from taking part in the management of the school as a result of a section 128 direction.

## Alternative provision

326. Where a school places a pupil with an alternative provision provider, the school continues to be responsible for the safeguarding of that pupil and should be satisfied that the provider meets the needs of the pupil.

327. Schools should obtain written confirmation from the alternative provision provider

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that appropriate safeguarding checks have been carried out on individuals working at the establishment, i.e. those checks that the school would otherwise perform in respect of its own staff.

## Adults who supervise children on work experience

328. Schools and colleges organising work experience placements should ensure that the placement provider has policies and procedures in place to protect children from harm.<sup>43</sup>

329. Children's barred list checks via the DBS might be required on some people who supervise a child under the age of 16 on a work experience placement.<sup>44</sup> The school or college should consider the specific circumstances of the work experience. Consideration **must** 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.

330. These considerations would include whether the person providing the teaching/training/instruction/supervision to the child on work experience will be:

- unsupervised themselves, and
- providing the teaching/training/instruction frequently (more than three days in a 30day period, or overnight).

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<sup>42</sup> As required in the [Academy Trust Handbook](#) which academy trusts must comply with as a condition of their funding agreement.

<sup>43</sup> [Guidance on work experience](#).

<sup>44</sup> Safeguarding Vulnerable Groups Act 2006, as amended by the Protection of Freedoms Act 2012, which came into force on 10 September 2012.

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331. If the person working with the child is unsupervised and the same person is in frequent contact with the child, the work is likely to be regulated activity relating to children. If so, the school or college could ask the employer providing the work experience to ensure that the person providing the instruction or training is not a barred person.

332. Schools and colleges are not able to request that an employer obtains an enhanced DBS check with children's barred list information for staff supervising children aged 16 to 17 on work experience.<sup>45</sup>

333. If the activity undertaken by the child on work experience takes place in a 'specified place'<sup>46</sup>, such as a school or sixth form college, and gives the opportunity for contact with children, this may itself be considered to be regulated activity relating to

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children. In these cases, and where the child doing the work experience is 16 years of age or over, the work experience provider e.g. school or sixth form college should consider whether a DBS enhanced check should be requested for the child in question. DBS checks cannot be requested for children under the age of 16.<sup>47</sup>

### **Children staying with host families (homestay)**

334. Schools and colleges quite often make arrangements for their children receiving education at their institution to have learning experiences where, for short periods, the children may be provided with care and accommodation by a host family to whom they are not related. This might happen, for example, as part of a foreign exchange visit or sports tour, often described as 'homestay' arrangements (see Annex D for further details).

335. In some circumstances the arrangement where children stay with UK families could amount to "private fostering" under the Children Act 1989.

### **Private fostering - LA notification when identified**

336. Private fostering<sup>48</sup> occurs when a child under the age of 16 (under 18 for children with a disability) is provided with care and accommodation by a

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<sup>45</sup> The Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 was amended by the Rehabilitation of Offenders Act 1974 (Exceptions) (Amendment) (England and Wales) Order 2012 so that employers may no longer request checks in these circumstances.

<sup>46</sup> See page 8 of DBS guidance: Regulated activity with children England which can be found at: [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/739154/Regulated\\_Activity\\_with\\_Children\\_in\\_England.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/739154/Regulated_Activity_with_Children_in_England.pdf)

<sup>47</sup> Under the Police Act 1997, an individual must be 16 or over to be able to make an application for a DBS check.

<sup>48</sup> [Part 9 of the Children Act 1989 \(legislation.gov.uk\)](https://www.legislation.gov.uk).

- person who is not a parent, person with parental responsibility for them or a relative in their own home.

337. A child is not privately fostered if the person caring for and accommodating them has done so for less than 28 days and does not intend to do so for longer. Such arrangements may come to the attention of school and college staff through the normal course of their interaction, and promotion of learning activities, with children.

338. Where the arrangements come to the attention of the school or college (and the school or college is not involved in the arrangements), they should then notify the local authority to allow the local authority to check the arrangement is suitable and safe for the child. Schools and colleges who are involved (whether or not directly) in arranging for a child to be fostered privately **must** notify local authorities of the arrangement as soon as possible after the arrangement has been made. Notifications **must** contain the information specified in Schedule 1 of The Children (Private Arrangements for Fostering) Regulations 2005 and **must** be made in writing.

339. Comprehensive guidance on private fostering can be found here: [Private fostering:](#)

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[DBS Guidance leaflets  
local authorities.](#)

#### **iv. How to ensure the ongoing safeguarding of children and the legal reporting duties on employers**

340. This section explains the importance of safeguarding vigilance beyond the recruitment process and as part of the whole school or college approach to safeguarding.

341. Safer recruitment is not just about carrying out the right DBS checks. Similarly safeguarding should not be limited to recruitment procedures. Good safeguarding requires a continuing commitment from governing bodies, proprietors, and all staff to ensure the safety and welfare of children is embedded in all of the organisation's processes and procedures, and consequentially enshrined in its ethos. See Parts one and two of this guidance for information about providing a coordinated whole school and college approach to safeguarding.

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## Ongoing vigilance for all staff

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

343. To support this, it is important that school and college leaders create the right culture and environment so that staff feel comfortable to discuss matters both within, and where it is appropriate, outside of the workplace (including online), which may have implications for the safeguarding of children. As set out in Part one, Part two and Part four of this guidance it is important that all staff understand the process and procedures to follow if they have a safeguarding concern about another staff member. This can assist employers to support staff, where there is a need, and help them manage children's safety and welfare, potentially providing them with information that will help them consider whether there are further measures or changes to procedures that need to be put in place to safeguard children in their care.

## Existing staff

344. There are limited circumstances where schools and colleges will need to carry out new checks on existing staff. These are when:

- an individual working at the school or college moves from a post that was not regulated activity with children into work which is considered to be regulated activity with children. In such circumstances, the relevant checks for that regulated activity **must**<sup>49</sup> be carried out
- there has been a break in service of 12 weeks or more, or
- there are concerns about an individual's suitability to work with children.

345. For colleges, an individual moving from a position that did not involve the provision of education to one that does, **must** be treated as if that individual were a new member of staff and all required pre-appointment checks **must**<sup>50</sup> be carried out (see paragraph 232).

## Duty to refer to the Disclosure and Barring Service

346. When an allegation is made (see Part four), an investigation should be carried out to gather enough evidence to establish if it has foundation, and employers should ensure they have sufficient information to meet the referral duty criteria explained in the DBS referral guidance, which can be found on [GOV.UK](https://www.gov.uk).

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<sup>49</sup> This also applies to 16-19 Academies, Special Post-16 institutions and Independent Training Providers.

<sup>50</sup> This also applies to 16-19 Academies, Special Post-16 institutions and Independent Training Providers.

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347. There is a legal requirement for schools and colleges<sup>51</sup> to make a referral to the DBS where they remove an individual from regulated activity (or would have removed an individual had they not left), and they believe the individual has:

- engaged in relevant conduct in relation to children and/or adults, and/or
- satisfied the harm test in relation to children and/or vulnerable adults, and/or
- been cautioned or convicted of a relevant (automatic barring either with or without the right to make representations) offence.

348. The DBS will consider whether to bar the person. Detailed guidance on when to refer to the DBS (including what is the harm test and relevant conduct), and what information **must** be provided, can be found on [GOV.UK](https://www.gov.uk).

349. Referrals should be made as soon as possible when an individual is removed from regulated activity. This could include when an individual is suspended, redeployed to work that is not regulated activity, dismissed or when they have resigned. It is important that as much relevant information is provided to the DBS as possible, as it relies on the quality of information provided by the school or college when considering the referral.

## Duty to consider referral to the Teaching Regulation Agency

350. Where a school, sixth form college or 16-19 academy teacher's employer,

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including an agency, dismisses or ceases to use the services of a teacher because of serious misconduct, or might have dismissed them or ceased to use their services had they not left first, they **must** consider whether to refer the case to the Secretary of State, as required by sections 141D and 141E of the Education Act 2002.

351. The Secretary of State may investigate the case, and if there is a case to answer, **must** then decide whether to make a prohibition order in respect of

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<sup>51</sup> This also applies to 16-19 Academies, Special Post-16 institutions and Independent Training Providers.

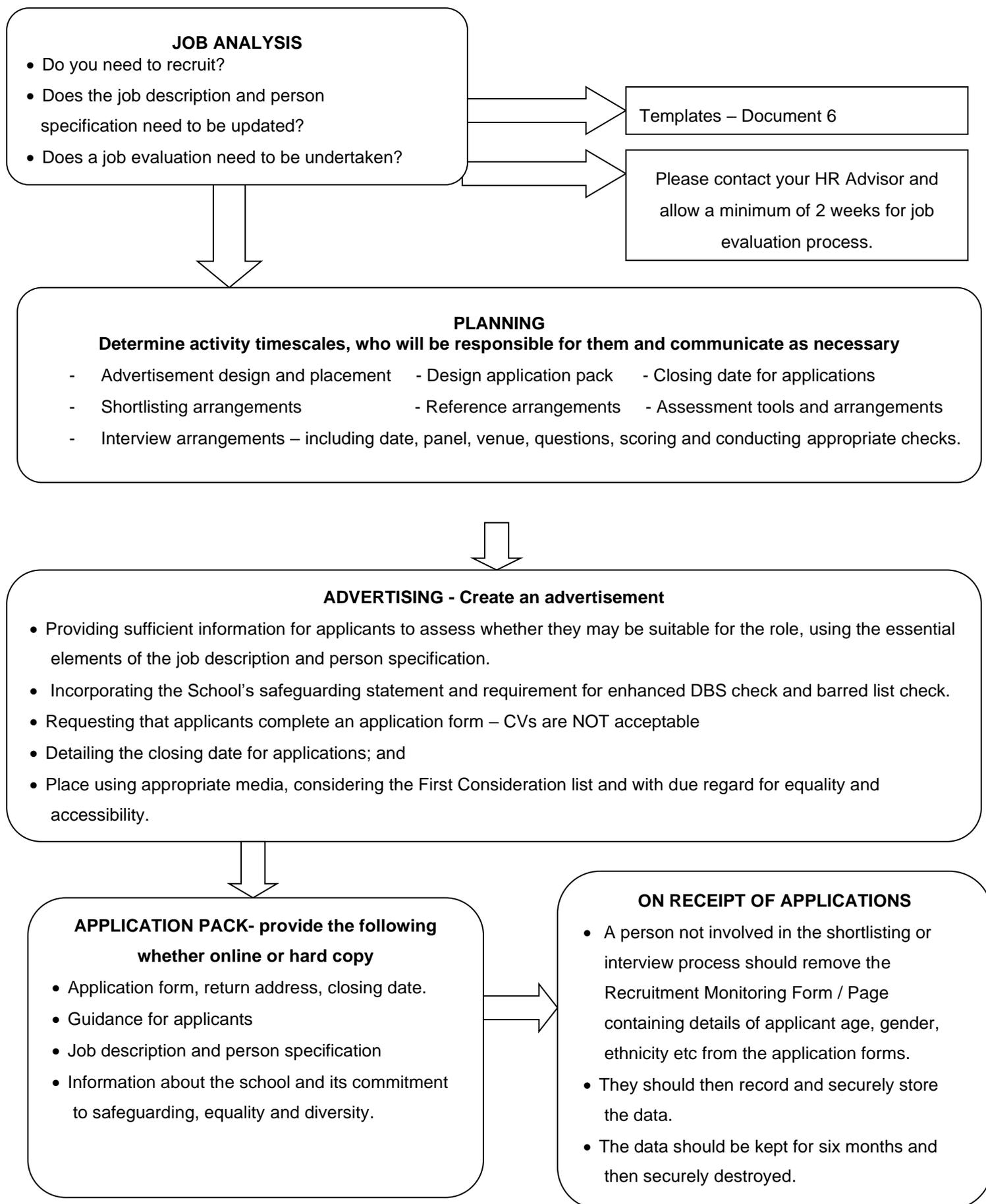
- the person.<sup>52</sup> Details about how to make a referral to the TRA can be found on [GOV.UK](https://www.gov.uk).

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<sup>52</sup> Sections 141D and 141E of the Education Act 2002 do not apply to colleges (other than sixth form colleges).

## Document 3 – Recruitment and Selection Activity Flowchart

(Overview - Please refer to the detail of the Policy for further advice)



## SHORTLISTING

- Create Shortlisting Matrix using the requirements set out in person specification ONLY (Document 10)
- A minimum of 2 people should shortlist the applications separately and then meet to discuss their decisions.
- One of the people shortlisting MUST have successfully completed the Safer Recruitment Training course endorsed by the Children's Workforce and Development Council and the National College for School Leadership.
- Identify gaps and issues to be explored at interview.
- Identify candidates who may have declared on their application form that they have a disability – be mindful that if they meet all the essential criteria, they will be guaranteed an interview, and that they may require reasonable adjustments to be made to facilitate their participation in the interview and assessment process.

## INVITATION TO INTERVIEW

### The letter inviting shortlisted candidates to interview should:

- Inform them of what to expect on the day, for example timings, assessments, the names, and roles of the people on the interview panel.
- Inform them of the documentation that they will need to bring with them to enable you to conduct the relevant checks including the Criminal Records Self-declaration form (document 21)
- Ask whether they require any reasonable adjustments to be made to the interview and / or assessment process because of a disability.

## REFERENCES

References should be obtained at the point that a conditional offer is made. Once received they **must** be scrutinised, and the information provided should be matched against the information provided on the application form and at interview. Any concerns or discrepancies must be satisfactorily resolved.

## INTERVIEW, ASSESSMENT AND OFFER

**Appropriate interview questions and assessment tools, and the way they are to be scored and if necessary weighted, should have been determined as part of the recruitment and selection planning process.**

- At interview / assessment ensure: That candidate's attitudes and motives towards safeguarding and children are explored, along with any gaps in their applications; That all candidates are assessed in the same manner / asked the same questions with the exception of probing questions, and that thorough records are kept of all questions, responses and assessment activities – These should be securely stored on file for 6 months following interview; That the necessary qualification and eligibility to work checks are completed.
- **All offers of employment are subject to receipt of a minimum of 2 satisfactory references, DBS clearance, barred list check, barred from teaching check, medical clearance, (EEA Check to January 2021) and now rest of the world check (If you have lived or worked out side of the UK for more than 6 months during the last 5 years), right to work in the UK, Childcare Disqualification, where required, etc.**

## Document 4 – Safer Recruitment Checklist



### Safer Recruitment Checklist

**School:** \_\_\_\_\_

**Recruitment to post of:** \_\_\_\_\_ **Date:** \_\_\_\_\_

#### Before you release your post . . . .

<b>Step 1</b>	Ensure that you have an up-to-date recruitment and selection policy that describes the process and roles before you begin.	
<b>Step 2</b>	Ensure that your organisation, has a safeguarding policy and that a statement about the organisation’s commitment to safeguarding is included in all recruitment and selection materials.	
<b>Step 3</b>	Ensure that you have an up-to-date job description and person specification for the role you wish to recruit to, that have been agreed with the recruiting manager	
<b>Step 4</b>	Ensure equality of opportunity	
<b>Step 5</b>	Ensure that you have an appropriate advertisement prepared that contains all necessary information about the role, timetable for recruitment, vetting and barring checks, on line search and your commitment to safeguarding	
<b>Step 6</b>	Ensure that you have compiled a suitable candidate information pack containing all the required information about the organisation, role, recruitment timetable, safeguarding policy / statement and application form	
<b>Step 7</b>	Organise the recruitment panel	

#### Before you interview . . . .

<b>Step 8</b>	Ensure that each application received is scrutinised in a systematic way by the shortlisting panel to agree your shortlist before sending invitations to invite in for interview	
<b>Step 9</b>	Ensure that all appropriate checks have been undertaken on your shortlisted candidates, including online check from September 2022 KCSIE	
<b>Step 10</b>	Ensure that all shortlisted candidates receive the same letter of invitation to interview, supplying them with all the necessary information (taking in-to account, requirements for disabled applicants) Including the Criminal Records	

self-declaration form (Document 21)

**Before you select your preferred candidate . . .**

**Step 11** Ensure that a face-to-face interview is conducted for all shortlisted candidates based on an objective assessment of the candidate's ability to meet the person specification and job description.

**Step 12** Ensure that all specific questions designed to gain required information about each candidate's suitability have been asked, including those needed to address any gaps in information supplied in the application form.

**Before you formally appoint . . .**

**Step 13** Ensure that you are able, to make a confident selection of a preferred candidate based upon their demonstration of suitability for the role. Including any feed back from the online check

**Step 14** Ensure that your preferred candidate is informed that the offer of employment is conditional on receiving satisfactory information from all necessary Safeguarding and Employment checks and two employment references one from their current employer.

**Step 15** Ensure that your employee completes the Criminal Records Self-declaration form and this is compared with DBS information received.

**After appointment . . .**

**Step 16** Update Single Central Record.

**Step 17** Ensure that your employee successfully completes his/her induction and probationary period.

**Step 18** Ensure that your employee receives on-going supervision, performance management and continuing professional development for both teaching and non-teaching employees.

**Document 5 – Pre-appointment Checklist**



**Pre-appointment Checklist**

<b>Employee Name:</b>	
<b>School:</b>	

For all employees the following checks must be undertaken as part of the safer recruitment process.

Type of check	Requested	Evidence	Checked by	Date
Professional qualifications as listed as essential for the job in the person specification and desirable where the candidate has stated they have them.				
Identity check				
Eligibility to work in the UK				
Barred list check (Childrens/Adults Workforce Check).				
Enhanced DBS check				
Prohibition from Teaching Check				
Overseas Criminal Record Check/Certificate of Good conduct where the person has worked or lived outside of the UK for 6 months or more during the last 5 years				
Section 128 check for employees appointed to a management post in an Academy, Free Trust School or an Independent School and Governors in Maintained school				
Two References covering the last 3 years				
Medical clearance				
Online check from September 2022				
Childcare disqualification where required				
Check Criminal records self-declaration form against information received from the DBS				
Input to Single Central Record				

Once all the checks have been made and appropriate clearance received, the safer recruitment process requires the information to be input to the school's Single Central Record.

# Guidance: Job Description and Person Specification

(School Logo can be inserted here)



When developing or updating the job description and person specification please use the most up to date template [Recruitment Home Page](#)

The template requires core information such as

- Job Title/Post Number
- Reporting line
- Salary/Grade
- Location
- Any special circumstances attached to the job
  - Police checks and DBS requirements (Please note it is **unlawful** to request a DBS check unnecessarily. If you are unsure that the post requires a check you can use the gov.uk site [www.gov.uk/find-out-dbs-check](http://www.gov.uk/find-out-dbs-check) or refer to the [HR Intranet](#) pages)
  - Fluency Duty – this applies to all those who work in customer facing roles who, as a regular and intrinsic part of their role, are required to speak to members of the public. For the fluency duty to apply the interaction with the public needs to be both regular and planned. This will not apply where the post holder interacts with stakeholders such as agencies, partners or businesses.
  - Essential Car user status
  - Contract status (e.g. fixed term)
  - Atypical working arrangements (e.g. shift working, bank holidays)

## Job Description

This document sets out the key tasks, duties and level of responsibilities for a post and **must** include safeguarding responsibilities.

The **Role Purpose** should only provide a brief description of the role.

**Role Responsibilities** should be concise and be no more than one side of A4. The role responsibilities do not need to replicate what has already been written in the job purpose.

It is essential that this realistically reflects the job role however it does not need to include every task that might ever be done. If it is too prescriptive this may lead to inflexibility.

As a guide you should identify and include tasks and duties that comprise about 90 to 95 percent of the work done. Ideally these should be listed in order of the time consumed (or, sometimes, in order of importance).

Tasks and duties that are similar in nature can be clustered, for example *“To administer, arrange and coordinate meetings”*

It is always useful to add a caveat - Any other appropriate duties as and when required.

It should be stated that **It is an offence to apply for this role if you are barred from engaging in regulated activity relevant to children.**

**Also consider:**

- Avoid jargon, unexplained acronyms and abbreviations.
- Use clear non-technical language, where appropriate.
- Be readily understandable to potential applicants for the post.
- Avoid ambiguity about responsibilities and be clear about the post holder's accountability/responsibility for resources, staff, etc.
- Use inclusive language and non-discriminatory language.
- Job Descriptions are evaluated on the level of the duties involved and not the volume of duties. Thus an increase in duties will not necessarily mean a higher grade, unless the duties are of a higher level of responsibility.

## **Person Specification**

This describes the critical attributes applicants need to be able to perform the job. It provides the basis for the selection process as all job applicants will be measured against the criteria set out in it.

**Essential and desirable criteria:**

Essential criteria should be exactly that, i.e. that the job cannot be done without that particular set of skills, knowledge etc.

Applicants who do not meet the essential criteria cannot be short-listed or appointed.

Essential criteria should not be over-prescriptive as this will reduce the potential pool of applicants unnecessarily. Do not set too many criteria as all the attributes listed as 'essential' must be assessed during the recruitment process. It is better to measure the key elements of a role in depth rather than measure many elements superficially.

Desirable criteria are those which enable the applicants to perform the job more effectively. Setting desirable criteria can help with the short-listing process by reducing the number of candidates to take forward for the selection process. Criteria, however, must not be added unless they can be justified.

All criteria must be:

- **Relevant** - can the criterion be directly related to the requirements of the job?
- **Specific** - e.g. '*good educational background*' – what is considered to be good? An alternative could be '*educated to degree level*' although this would need to be justifiable.
- **Measurable** - how the requirements will be measured must be specified e.g. application form, interviews, tests etc. Identifying all criteria as being measurable from the application form will make shortlisting more time consuming. As a general rule, experience and qualifications are probably the most appropriate criteria to measure from an application form
- **Free from bias** - avoid criteria which may have a discriminatory affect or impact adversely on any particular group(s)

Criteria		How measured?
Education and Qualifications	<p>Remember to add 'or equivalent' if other qualifications are at the same level. For example, GCSEs would be equivalent to 'O' Levels or NVQ/QCF level 2 qualifications.</p> <p>Qualifications should only be included where it can be demonstrated that there is a genuine requirement. In some instances, relevant experience may be more appropriate.</p> <p>Avoid generalised terms such as 'A degree'. Qualifications at QCF Level 4 and above should normally be relevant and demonstrate the specialist/advanced knowledge required. For example, 'A degree in a relevant subject such as Business Administration'</p> <p>If you are substituting an equivalent requirement for a qualification by "..... or the ability to demonstrate through extended experience, the necessary knowledge to carry out the full range of duties" please be clear what the 'extended experience' consists of. If it is instead of a qualification, then this must be over and above the criteria already specified under 'Experience and Knowledge'.</p>	<p>Applicants will be required to provide <b>original</b> certificates. Copies will not be accepted.</p>
Experience and Knowledge	<p>Avoid statements such as '4 years HR experience' as this could be discriminatory under the Equalities Act 2010. It would be more appropriate (and easier to shortlist) if the criteria were broken down into actual tasks. For example, 'Experience of dealing with complex disciplinary cases', 'Experience of managing large scale change' etc.</p> <p>Be careful when specifying knowledge. This is different to experience as an applicant may have knowledge of an issue but no experience of dealing with it.</p>	<p>Use of Application questions on the application form is a good tool for candidates to demonstrate experience.</p> <p>Knowledge is better tested at the interview stage. How? What? When?</p>
Skills/Abilities	<p>Avoid being too generic with skills and abilities. For example, 'communication skills' – consider who the candidates would be communicating with, and what type of communication it will be, e.g. written or spoken.</p> <p>Avoid combining skills such as "Ability to demonstrate effective writing, speaking and listening skills, able to make decisions and influence a range of people and</p>	<p>Skills and abilities can be effectively measured at interview or through assessments (psychometric or in-house assessments, presentation etc.)</p>

	<p><i>organisations</i>" as these will be difficult to measure. ICT skills – be clear what is required for the job. If you express a skill level (e.g., intermediate Excel) or use of a specific system (Citrix, Oracle etc) you will require the candidate to be able to demonstrate this competence e.g., a certificate or test</p>	
Core Behaviours	<p>These are standard, 'non-negotiable' and will still need to be measured. However, they are likely to cover many of your requirements including:</p> <ul style="list-style-type: none"> <li>• team working</li> <li>• quality of work</li> <li>• delivering customer service</li> <li>• initiative and personal decision making</li> <li>• communication</li> <li>• confidentiality</li> <li>• equality</li> </ul> <p>Therefore, be careful not to duplicate.</p>	
Other requirements	<p>It is important to ensure that these are measurable and justifiable. For example, criteria such as '<i>a good sense of humour</i>' would be difficult to either measure or justify.</p> <p>It may be necessary to specify "<i>availability to attend evening meetings</i>" or "<i>possession of a driving licence</i>", but you should distinguish between need and convenience and weigh up need against discriminatory effect.</p> <p>Remember the possibility of adaptations or aids to enable a disabled person to fulfill a requirement. It is important to be clear about what needs to be achieved in the role, not the means to achieve it.</p>	

## A Guide to Good Copywriting

### A good advert:

- Is compelling – grabs people’s attention.
- Is honest – don’t pretend that the job is something that it isn’t.
- Attracts the right people.
- Deters those who don’t meet the criteria from applying.
- Provides good PR for the organisation.
- Needs to be brief (for hard copy adverts)
- Succeeds in a competitive marketplace.
- Has high visibility
- Has high impact

Also think about the job title – is it easily recognisable to your target audience? ( NB this is especially important for on-line adverts where people may use key words to search for jobs)

### Advert format:

- Who - are we targeting?
- Why - would someone want to work for us?
- What - is the role?
- How - do potential applicants apply?

### Advert style:

Talk directly to the reader and make them feel that you are directly addressing them e.g. ‘You will.....’

- In line with the Schools/Council’s brand
- Appropriate to the intended audience
- Use short sentences.
- Use easy to understand language and avoid long words.
- Avoid acronyms unless they will be understood by your target audience.
- Use appropriate filters to limit the number of applicants.

### Tangible filters

- Essential qualifications
- Membership of a professional body
- Specific experience/achievements

### Intangible filters (i.e., difficult to measure)

- Personal
- Character traits

Be concise – people don’t read long adverts.

Ensure there are no typos, spelling mistakes or grammatical errors (remember it is the reputation of the Council)

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### **Good starting points for paragraphs:**

You will have...

In this varied and challenging role, you will.....

This important role has the key aim of.....

Handling a wide range of administrative duties, you'll.....

To succeed you will need.....

### **On-line adverts**

When using a search engine, such as Google, there are two factors which will affect where the advert appears in the listing:

- Organic search results – where key words are picked up from the website/advert and results are listed dependent on how closely these match the word(s) used in the search.
- Paid for – by sponsoring certain words the listing results can be manipulated to ensure the advert appears high in the listing.

There is no need to be brief as the cost of the advert is per listing not per word or line.

However, keep sentences and paragraphs short to make it easy to read.

Use key words in the advert which are likely to be words that potential applicants would use as a search.

Ensure the key essentials about the job are included as early as possible in the advert. On some job sites the search will often return the job title and the first paragraph/few sentences of the advert, so you need to get your key message across as soon as possible.

Alternatively, when liaising with the advertising agency over placing the advert – provide an additional paragraph (positioning statement) to be used specifically for this purpose.

In on-line adverts the use of headings and subheadings are helpful.

### **How can the Resources Team help?**

- We can identify key words which will improve search results.
- We can add a tag line which appears below the job title in the search.

For assistance please contact: ([Recruitment@solihull.gov.uk](mailto:Recruitment@solihull.gov.uk) ext.6188)

**Sample Adverts**

**Class Teacher**

This School is committed to safeguarding and promoting the welfare of children and young people and expects all staff and volunteers to share this commitment. All positions in this school will be subject to DBS checks.

**Class Teacher**

**Required for September 202X .....Salary: MPS/UPS**

Are you looking to be part of a successful school?

Following a very recent, successful promotion to senior leadership, we now have a vacancy within our team for September 202X.

We are keen to take this opportunity to appoint an experienced good/outstanding KS2 class teacher who combines professional expertise with good communication and organisational skills and are looking to develop their career path in a well-respected, successful school.

The successful candidate will:-

- Have high expectations and a positive outlook.
- Be a good/outstanding class practitioner.
- Be both creative and independent in their teaching.
- Be able to always engage and enthuse pupils in learning.
- Be focussed on maximising progress for every child.
- Understand the importance of assessment, feedback, and differentiation.

What we can offer:-

- To work with a vibrant, confident staff and pupils
- To work in a school with high expectations and high standards of achievement and behaviour
- A highly resourced and high-quality working environment
- Outstanding professional development linked to leadership at all levels.
- A high-quality working environment

[Name] School is committed to safeguarding and promoting the welfare of children and young people and expects all staff and volunteers to share this commitment. The successful applicant will be expected to undertake an enhanced DBS check and other relevant checks as appropriate.

Visits to our school are welcome. An application form, person specification and job description is attached to the advert or available from the school office.

e-mail: or on the Solihull jobs website: [www.solihull.gov.uk](http://www.solihull.gov.uk)

Closing date:

Interview date:

•

This School is committed to safeguarding and promoting the welfare of children and young people and expects all staff and volunteers to share this commitment. All positions in this school will be subject to DBS checks.

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## **Business Manager**

**Salary £X**

### **Required For September 202X**

The Head Teacher and Governing Body of this hard working and successful school are looking to appoint a Business Manager as part of our Senior Leadership Team.

The role has primary responsibility for the following:-

- Strategic leadership of the school's financial resources in partnership with the Headteacher
- Premises, Health and Safety and Risk Assessment
- Sourcing and generating additional income and funds for the school.
- All aspects of preparing and submitting bids
- Line Managing the School's Administrative team.

The successful candidate will:-

- Enjoy working with children and a range of staff members.
- Hold a Certificate in School Business Management
- Have considerable experience of being responsible for large budgets and expenditures.
- Have effective organisation and communication skills.
- Have good interpersonal skills.
- Have the ability to lead and manage projects.

The successful applicant will be expected to undertake an enhanced DBS check and other relevant checks as appropriate.

Visits to the school are welcomed. Please contact the school to make an appointment. An application pack including an application form and job specification can be downloaded from Solihull jobs website: [www.solihull.gov.uk](http://www.solihull.gov.uk)

Applications can either be posted to the above address, or emailed to .....for the attention of .....

Closing date for applications is .....

Interviews will be held on .....

## **Asking Good Questions**

The aim of an interview is to assess the candidate's ability to do the job in question. The candidate should do most of the talking, for probably about two-thirds of the time available.

Questions should focus only on eliciting information relevant to the job.

### **Question Types or Styles to be encouraged:**

#### **Open Questions**

These encourage the candidate to express their views and should be used to elicit attitudes as well as facts. General open questions such as 'Tell me about your experience of .....

'What exactly did that entail....?'

#### **Behavioural Questions**

This type of question draws on candidates' previous experiences and how they responded to a certain situation e.g. 'Tell me about a time when you.....'

When answering this type of question, candidates often talk in plural i.e., 'we did.....' rather than 'I did...'. It is therefore important that the interviewer asks further questions to ascertain the candidate's actual role.

#### **Hypothetical/Situational Questions**

This type of question presents the candidate with a scenario and asks what they might do in each situation e.g., 'if you were asked to organise x how would you go about this?'

It should be remembered, however, that hypothetical questions receive hypothetical answers and therefore will measure that a candidate knows what to do but not necessarily what they would do in that situation.

#### **Probing Questions**

This type of question is designed to search for information in greater depth. There are several ways in which the interviewer can 'probe' depending on what they wish to achieve.

- 
- **Showing Interest and/or Encouragement**

*Non-verbal noises*:- 'Hmm', 'oh', 'uhh', etc., can encourage the speaker to continue.  
*Supportive statements*: for example, 'I see', 'and then', 'that's interesting', will often help them continue.

*Key word repetition*: 'Difficult', 'challenging', especially if asked with a questioning inflection.

*Mirror questions*: 'He said it was a good buy?' reversing a statement to a question.

- **To Seek Further Information**

*Pause* - don't be afraid of silence as it is often very effective at getting the speaker to add more.

*Simple interrogation* - 'Why' or 'Why not?' but try to soften them by adding more to the question.

*Extension questions* - 'How do you mean?' or 'How do you know?' Make sure you keep them open.

- **To Explore Opinions or Attitude in Detail**

*Opinion-investigation* - 'To what extent do you feel.....?'

*Reflection* - Checking out the speaker's feelings and reflecting back 'you feel', 'you consider.'

*Summary*: Checks understanding 'As I understand.....', 'You seem to be saying...'

## **The Funnel Technique**

The funnel technique is a structured method of questioning so that the interviewer gains all the required information from the candidate and the interview has a structure which is clear to the candidate.

Begin with asking an open question e.g. 'Tell me about.....'

Follow up the candidate's response by asking a probing question e.g., 'what did X involve?' or 'I'm interested in your experience of Y, can you tell me a little more?'

This can be further followed up if the interviewer still hasn't got all the required information e.g., 'So, you say you were responsible for X; how did you manage the responsibility?' Or a closed question may be appropriate, e.g., 'Were you solely responsible, or were you part of a team?'

After the exploration and funneling down of the information it is good to then summarise and check the answers. 'So, you were involved in Y and specifically had responsibility for X, and you managed this by yourself rather than as part of a team?'

- 

Question Types to Avoid:

### **Closed Questions**

These usually invite only a single word answer which does not help the interviewer very much. Closed questions should be used as little as possible and only to confirm that you have understood an answer.

### **Leading Questions**

Leading questions such as 'Do you get on well with your colleagues?' or 'Do you work well under pressure?' should not be asked under any circumstances as they indicate to the candidate the answer you expect.

### **Multiple Questions**

Rambling multiple questions such as 'What makes a good Housing Officer, and do you think it's a good idea to have experience in the private sector?' are best avoided because the interviewee will answer only one part of the question - usually the part they find easiest.

### **Self-Assessment Questions**

'What makes you think you can do this job?' or 'How do you think you will be able to cope with a newly appointed team?' These questions need to be carefully thought through; candidates may often have prepared the "correct" answer for this type of question.

**Selection Shortlisting Matrix (Standard)**

Post Title:	1	2	3	4	5	6	7	8	9	10	11	12											
<b>Education/Qualifications</b>																							
1.																							
2.																							
3.																							
<b>Skills and Abilities</b>																							
1.																							
2.																							
3.																							
4.																							
5.																							
6.																							
7.																							
<b>Knowledge/Experience</b>																							
1.																							
2.																							
3.																							
4.																							
5.																							
<b>Other</b>																							
1.																							
2.																							
3.																							
<b>Interview Y/N</b>																							

Signature:

Date:

## Competency Interview Questions

### Competency Interview Questions to address suitable personal behaviours for teaching: (including safeguarding children and young people)

These are examples of questions and indicators; these are to provide an illustration rather than to provide standard interview questions for on-going use.

Positive Indicators	Personal Competencies	Negative Indicators
<ul style="list-style-type: none"> <li>• Convincing responses based on balanced understanding of self and circumstance.</li> <li>• Has a realistic knowledge of personal strengths and weaknesses.</li> <li>• Examples of having considered/tried other options and alternatives.</li> <li>• A realistic appreciation of the challenges involved in working with children.</li> <li>• Evidence of others having supported and encouraged based on observation and personal talent.</li> </ul>	<p><b>1. Motivations for Working with Children</b> Self-awareness/knowledge and understanding of self, interconnection between self and professional role.</p> <p>Example questions:</p> <ul style="list-style-type: none"> <li>• What do you feel are the main drivers which led you to want to work with children?</li> <li>• How do you motivate young people?</li> <li>• What has working with young people, to date, taught you about yourself?</li> </ul>	<ul style="list-style-type: none"> <li>• Unconvincing responses based on whimsical examples, not self-aware, don't see themselves as others do.</li> <li>• Driven by personal needs not the needs of others.</li> <li>• Not realistic about personal strengths and weaknesses.</li> <li>• Unrealistic impression of what working with children is really like.</li> <li>• Failure to consider other alternatives.</li> <li>• Pushed by others, or forced by circumstance, to do something they don't appear to have personally thought through.</li> </ul>
<ul style="list-style-type: none"> <li>• Behaves consistently and appropriately under pressure or in a position of authority.</li> <li>• Has control over emotions with adults and children.</li> <li>• Understands power position and how to seek help in difficult circumstances.</li> </ul>	<p><b>2. Emotional Maturity and Resilience</b> Consistency under pressure, ability to use authority and respond appropriately, ability to seek assistance/support where necessary.</p> <p>Example questions:</p> <ul style="list-style-type: none"> <li>• Tell me about a time when you have been working with children when your authority was seriously challenged. How did you react? What strategies did you employ to bring things back on course? How did you manage the situation?</li> <li>• Tell me about a person you have had particular difficulty dealing with. What made it difficult? How did you manage the situation?</li> </ul>	<ul style="list-style-type: none"> <li>• Inappropriate responses when under pressure or when in a position of power.</li> <li>• Inconsistent responses.</li> <li>• Handles conflict badly.</li> <li>• Fails to control temper/emotions with children and/or adults.</li> <li>• Doesn't seek help when needed.</li> <li>• Fails to go to others for advice.</li> </ul>

<p><b>Positive Indicators</b></p> <ul style="list-style-type: none"> <li>• Demonstrates a balanced understanding of rights and wrongs.</li> <li>• Puts the child first.</li> <li>• Alive to the realities of abuse.</li> <li>• Prepared to believe.</li> <li>• Shows a contemplative approach, drawing on personal experiences and lessons from others.</li> <li>• Builds values and judgements based on new information.</li> <li>• Shows an appreciation of safeguarding issues and an ability to contribute towards a protective environment.</li> <li>• Shows respect for others' feelings, views and circumstances.</li> </ul>	<p><b>Personal Competencies</b></p> <p><b>3. Values and Ethics</b> Ability to build and sustain professional standards and relationships, ability to understand and respect other people's opinions, ability to contribute towards creating a safe and protective environment.</p> <p><b>Example questions:</b></p> <ul style="list-style-type: none"> <li>• What are your attitudes to child protection? How have these developed over time?</li> <li>• What are your feelings about children who make allegations against teachers or staff?</li> <li>• How do you feel when someone holds an opinion which differs from your own? How do you behave in this situation?</li> <li>• Have you ever had concerns about a colleague? How did you deal with this?</li> </ul>	<p><b>Negative Indicators</b></p> <ul style="list-style-type: none"> <li>• Extreme opinions which don't account for the views/feelings of others.</li> <li>• Doesn't show balance in opinion.</li> <li>• Doesn't build on new information or understanding.</li> <li>• Opinions harden/become dogged.</li> <li>• Doesn't show a full or rounded appreciation of safeguarding issues.</li> <li>• Dismissive of, or underplays, the risks.</li> <li>• Consistently puts the blame and responsibility for child protection elsewhere.</li> <li>• Fails to believe in suspicions/reports of abuse.</li> </ul>
<p><b>Positive Indicators</b></p> <ul style="list-style-type: none"> <li>• Proactive and has personally taken actions to improve safeguarding culture.</li> <li>• Has personal experience of having appropriately dealt with a challenging safeguarding issue.</li> <li>• Personally committed towards making improvements. See it as part of their job.</li> <li>• Prepared to challenge others in the workplace to make tangible improvements to safeguarding.</li> <li>• Prepared to tackle difficult issues, confront individuals if necessary, in order to promote best practice.</li> <li>• Shows a good understanding of the issues. Up to date with events and legislation. Knows about test cases.</li> </ul>	<p><b>Sample questions to test for safeguarding knowledge and understanding (pick one or two – not all)</b></p> <ul style="list-style-type: none"> <li>• Tell us about what you have done in the last 12 months to improve child protection in the workplace. How did this action arise? Follow up with: Who did you talk to? What were the results?</li> <li>• What is the safeguarding policy in your workplace? Follow up with: How is it monitored? What steps have you taken to improve things?</li> <li>• Give me an example of when you have had safeguarding concerns about a child. Follow up with: How did it arise? Who did you speak to? What actions did you take?</li> <li>• Tell us about a situation where you felt you fell short of safeguarding standard?</li> </ul>	<p><b>Negative Indicators</b></p> <ul style="list-style-type: none"> <li>• No evidence of having taken steps in own right to make improvements.</li> <li>• Passive approach to safeguarding issues.</li> <li>• Reluctance to challenge people/systems/processes to make things better.</li> <li>• No real experience of handling safeguarding issues. Naïve approach.</li> <li>• Sees it as someone else's job and/or responsibility.</li> <li>• Not well versed or clear in understanding of the issues/sensitivities.</li> <li>• Intolerant of the bureaucracy around safeguarding.</li> <li>• Shows a tendency to take inappropriate chances/risks in area of safeguarding.</li> </ul>

Positive Indicators	Sample questions to test for safeguarding knowledge and understanding (pick one or two – not all)	Negative Indicators
	<p>Follow up with: How did it arise? Who did you speak to? What actions did you take?</p> <ul style="list-style-type: none"> <li>• Have you ever had to challenge the views of someone more senior than yourself in relation to safeguarding concerns?</li> <li>• Follow up with: What were the circumstances? How did you go about it? What was the outcome?</li> </ul>	

## Assessment Techniques

Below is a list of the most commonly used tests. However, it is not exhaustive, and for further advice and guidance regarding test usage, please contact HR.

Assessment Type	Description	Who is it suitable for?	Advantages	Disadvantages
Ability Tests	Purchased from companies who specialise in psychometric testing. Tests range from verbal or numerical reasoning to managerial judgement. Alternatively, there are tests available which closely mirror roles, for example, for Contact Centre staff. They are usually timed.	There are different levels of test making these suitable for most roles.	They have been stringently tested and validated to ensure that they measure what they purport to measure and that they are free from bias.  Scores are measured against a norm group.	Need to be administered by a suitably qualified person (BPS Level A).  Purchasing new tests can be expensive; although the consumables (e.g., answer sheets) are reasonably inexpensive.
Personality Profiles	Self-report questionnaires which look at a person's behavioural preferences measured against a norm group.	Suitable for higher level roles (Band G and above) but need to be closely matched to the requirements for the job.	Can provide useful insight into how people prefer to behave. Personality profiles, should, however, only be used in conjunction with an interview to pick up issues that arise from them.	Need to be administered by a suitably qualified person (BPS Level B). Only measure behavioural preferences and not ability.

<p>In-tray Exercises</p>	<p>Dealing with a variety of issues which must be prioritised, delegated, or escalated. May contain some pieces of work that need to be completed. The exercise is timed. Can either be set up in-house or purchased. They test organisation, prioritisation, and delegation skills. If the in-tray exercise also includes pieces of work to complete, it can also be used test report/letter writing skills, numeracy skills etc.</p>	<p>Particularly management /PA-type roles where the post holder is likely to have to organise his/her own/or someone else's workload.</p>	<p>A good measurement of a candidate's ability to prioritise and deal with a workload. Can be written to closely mirror the actual work involved in the job.</p>	<p>Setting up an exercise in-house is time consuming. It is essential to ensure that it is not in any way biased towards internal candidates. Buying exercises 'off the shelf' is expensive.</p>
<p>Group Exercises</p>	<p>Participants are set a goal or task to complete. This should be as real as possible with a set outcome. The exercise will be time limited, requiring candidates to share information and reach decisions. Often candidates are given time to prepare prior to exercise. Can be set up in house or purchased. Skills tested are to a certain extent dependent on the exercise. It does, however, test how candidates react in a group. For instance, competitiveness, co-operation, creativity, building on others' ideas, persuading/ influencing skills.</p>	<p>Higher level roles where candidates will be regularly participating in meetings.</p>	<p>Gives valuable insight into how candidates interact in a 'real life' situation. Easy to set up in-house.</p>	<p>Resource intensive because it requires several observers. Purchasing 'off the shelf' tests is expensive.</p>

<p>Presentations</p>	<p>Candidates are set a subject on which to do a presentation. The presentation is timed and usually followed by questions.</p> <p>The subject can either be set beforehand or on the day.</p> <p>Testing for presentation skills and understanding of the subject.</p>	<p>More senior roles where presentation skills are required.</p>	<p>Easy to set up but need to consider scoring structure.</p>	<p>Needs suitable equipment e.g., laptop, projector, screen etc.</p> <p>Should only be used for jobs where making presentations will form part of the role.</p>
<p>Written work (report)</p>	<p>The candidate is asked to produce a report on a subject or complete a case study.</p> <p>This can either be set up beforehand and the candidate asked to bring a report with them or as an exercise as part of a centre.</p> <p>Can be used in conjunction with a presentation in that the candidate is asked to present the report to the panel.</p> <p>Tests understanding of the subject, written communication skills, analytical and problem-solving skills.</p>	<p>Management roles.</p>	<p>Easy to set up.</p>	<p>May be difficult to score.</p> <p>Is only appropriate if this is a skill that will form a part of the job.</p> <p>Need to be aware of bias towards any internal candidates who may have more organisational knowledge.</p>

## Interview Scoring Matrix – Guidelines

- 1 From the person specification, identify the criterion to be measured and write the main question.
- 2 In some instances, it may be necessary to ask follow up/probing questions in order to either gain more information from the candidate or to clarify points made in an answer. Any follow up/probing questions should be noted on the scoring sheet. Care should be taken, however, to ensure that the questions are not leading and that all candidates are given an equal opportunity to answer.
- 3 Specify the elements/evidence that you would ideally expect a candidate to demonstrate as part of their answer i.e., a model answer.
- 4 Interview notes should be factual and, where possible, record verbatim what the candidate says. No judgement should be made about the candidate at this stage.
- 5 At the end of the interview, use the table below to score each question against the evidence provided by the candidate.
- 6 When scoring try to avoid the ‘central tendency’ (i.e., scoring in the middle) and use the whole range of scores.
- 7 Scoring should be carried out independently by each panel member prior to any discussion as a group. Scores for each panel member should be entered on the Composite Scoring Matrix.
- 8 Prior to starting the interview process, you may wish to set a pass mark i.e., minimum score at which a candidate is appointable.
- 9 If you feel that some questions are more important than others, these can be weighted by multiplying the score by 1.5, 2 etc. This, however, must be justifiable and decided **before** the interview process begins and be justifiable.
- 10 **Please note** questions not related to the person specification, for example questions arising from a personality profile, a test, the application form or from references should not be scored as part of the matrix. Whilst they should be recorded on the matrix, as there are likely to be different questions for different candidates it would be difficult to score them fairly or consistently across all candidates. Consequently, the panel will need to identify the model response / the evidence they are looking for so they can fairly consider if the questions have been satisfactorily answered and take this into account in making the final decision.
- 11 The completed Interview Matrices and Composite Assessment Matrix must be kept securely, along with all other recruitment information, for six months in case of challenge.

### Scoring Scale

0	No evidence provided
1	Significant gaps in evidence provided
2	Some gaps in evidence provided
3	Sound evidence provided that meets criteria/model answer
4	Provided some additional evidence above criteria/ model answer
5	Significant evidence provided that exceeds criteria /model answer

**EXAMPLE**

<b>Criterion measured</b>	<b>Question</b>	<b>Model Answer</b>	<b>Candidate Response</b>	<b>Score</b>
<i>Ability to organise and prioritize workloads</i>	<i>Give me an example of when you have had to manage a heavy workload to meet a tight deadline.</i>	<i>Has systems in place for prioritizing/managing workload; Understanding of urgent vs important; Able to deal with unexpected issues that occur. Re-prioritising considering changes; Demonstrates flexibility; Delegation of tasks/asking for help; Making manager/supervisor aware if there are difficulties; Managing expectations of customers; Maximizing use of resources; Keeping calm under pressure; Reflected back on the situation and identified learning points for the future</i>		

## INDIVIDUAL INTERVIEW SCORING MATRIX

Candidate Name: \_\_\_\_\_ Post Title: \_\_\_\_\_

Panel Member : \_\_\_\_\_ Date: \_\_\_\_\_

Criterion measured	Question	Model Answer	Candidate Response	Weighting (e.g. x2)	Total Score (including weighting)

## COMPOSITE SCORING MATRIX

**Post Title:** \_\_\_\_\_ **Date** \_\_\_\_\_

Please use the table below to record candidates' results. Please note - if the assessment consists of several different exercises, the weighting of the exercises for the overall score **must** be agreed **prior** to the assessment taking place.

Assessment	Maximum Score	Weighting
Interview		
Test 1(please specify)		
Test 2(please specify)		
Test 3(please specify)		
<b>Total</b>		<b>100%</b>

To calculate the weighted score – divide the candidate score by the maximum score and multiply by the weighting. Please see overleaf for a completed example

**Please note** - if using psychometric tests (i.e. purchased tests) advice **must** be sought from your HR Adviser as a standardized score will need to be used in the weightings

Candidate Name	Interview Panel Members' Scores (please enter panel member initials and their individual scores below)				Average Interview Score	Weighted Score	Test Score 1	Weighted Score	Test Score 2	Weighted Score	Test Score 3	Weighted Score	Total Weighted Score

**Example**

<b>Assessment</b>	<b>Maximum Score</b>	<b>Weighting</b>
<i>Interview</i>	30	50
<i>IT test</i>	40	25
<i>Presentation</i>	25	25
<i>Test 3(please specify)</i>	-	-
<b>Total</b>	<b>95</b>	<b>100%</b>

<b>Candidate Name</b>	<b>Interview Panel Members' Scores (please enter panel member initials and their individual scores below)</b>				<b>Average Interview Score</b>	<b>Weighted Score</b>	<b>Test Score 1 (IT)</b>	<b>Weighted Score</b>	<b>Test Score 2 (Pres.)</b>	<b>Weighted Score</b>	<b>Test Score 3</b>	<b>Weighted Score</b>	<b>Total Weighted Score</b>
	<b>AC</b>	<b>JL</b>	<b>AA</b>	<b>PE</b>									
<i>Example- Joe Bloggs</i>	23	19	21	20	20.75	34.58	32	20	21	21	-	-	75.58

The calculation for the scores is:

The average interview score (**20.75**) divided by maximum interview score (**30**) and multiplied by the interview weighting (**50**).

Test 1 - the score (**32**) divided by the maximum score (**40**) and multiplied by the weighting (**25**)

Test 2 - the score (**21**) divided by the maximum score (**25**) and multiplied by the weighting (**25**)

# Reference Request (for posts requiring a DBS check)



Name of applicant:	
Application for the post of:	
Applicant's job title and brief outline of main duties/responsibilities:	
Salary:	
Dates Employed:	
Reason for Leaving:	
Relationship to Applicant:	

	Excellent	Good	Satisfactory	Unsatisfactory	Not Known
Timekeeping					
Reliability					
Ability to Work on Own Initiative					
Communication Skills					
Ability to Meet Deadlines					
Accuracy					
Attitude to Clients and Customers					
Coaching skills					
Organisation Skills					
Management of Cost					
Ability to take Responsibility					
Flexibility in Approach to Work					
Response to Change					
Ability to manage staff					
Motivation and commitment to their work					
Good working relationship with staff at all levels					
Honesty and trustworthiness					

Has this person ever been involved in disciplinary/performance issues/proceedings? If 'yes' please give details below.

YES/NO

Has the applicant been subject to any disciplinary procedures involving the safety and welfare of children, young people or vulnerable adults (including any sanctions which have expired)? If 'yes' please give details below including outcome.

YES/NO

Using the attached job description, please comment on the person's abilities to fulfil the role detailing any reasons why you think they are unsuitable for this position.

If a suitable vacancy arose, would you re-employ this person?  
If 'no' please comment.

YES/NO

Signed:

Date:

Name :

Organisation:

Contact Phone No:

**Thank you for your assistance in completing this reference.**

## Reference Request - Teaching Staff

<h3 style="margin: 0;">Reference Request (for posts requiring a DBS check)</h3>	
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Name of applicant:	
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Application for the post of:	
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Applicant's job title and brief outline of main duties/responsibilities:	
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Salary:	
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Dates Employed:	
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Reason for Leaving:	
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Relationship to Applicant:	
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	Excellent	Good	Satisfactory	Unsatisfactory	Not Known
Timekeeping					
Reliability					
Ability to Work on Own Initiative					
Communication Skills					
Ability to Meet Deadlines					
Accuracy					
Attitude to Clients and Customers					
Coaching skills					
Organisation Skills					
Management of Cost					
Ability to take Responsibility					
Flexibility in Approach to Work					
Response to Change					
Ability to manage staff					
Motivation and commitment to their work					

	Excellent	Good	Satisfactory	Unsatisfactory	Not Known
Good working relationship with staff at all levels					
Honesty and trustworthiness					

Has this person ever been involved in disciplinary proceedings? If 'yes' please give details below.	YES/NO
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Has this person been subject to formal capability procedures in the past two years? If 'yes' please give details below.	YES/NO
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Has the applicant been the subject of any allegations or concerns raised regarding the safety and welfare of children, young people or vulnerable adults (including any sanctions which have expired) ? If 'yes' please give details below including outcome.	YES/NO
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Using the attached job description, please comment on the person's abilities and personal qualities to fulfil the role, detailing any reasons why you think they are unsuitable for this position.
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If a suitable vacancy arose, would you re-employ this person? If 'no' please comment.	YES/NO

Signed:		Date:	
Name :			
Organisation:			
Contact Phone No:			

**Thank you for your assistance in completing this reference.**

## Disclosure and Barring Service (DBS) Checks Guidance



### Manager guidance – positive DBS Disclosure

#### **How does a manager decide whether a person's criminal record is relevant?**

An applicant's suitability must be judged in the light of the results of all the relevant pre-appointment checks carried out on him/her. The fact that a person has a criminal record will not automatically make him/her unsuitable. Managers must make a judgement about suitability, considering only those offences which may be relevant to the job or situation in question.

In deciding the relevance of convictions, a number of points should be considered, after providing the individual the opportunity to discuss the details of the disclosure to understand the context of the offences:

- 1) Honesty:** did the applicant self-disclose prior to completion of the DBS application? Failure to disclose could be considered a breach of trust and confidence and could be significant cause for concern. Please note - due to the filtering of convictions by the DBS, applicants are now only asked to disclose unspent convictions and therefore the information on the application form may not be a complete record.
- 2) Context:** was there a geographic, social, financial or relationship issue which contributed to the offence; is it likely to be repeated – if circumstances have changed does that reduce the risk of re-offending?
- 3) The nature of the offence:** In general, convictions for sexual, violent or drug offences will be particularly strong contra-indications for work with vulnerable groups; however, remember that offences vary within the UK (different laws in England, Scotland & Wales) and also that offences can become decriminalised. Finally, offences abroad will require further investigation due to significant cultural differences regarding criminal convictions.
- 4) The nature of the appointment:** Often the nature of the appointment will help to assess the relevance of the conviction. For example, serious sexual, violent, drug or drink offences would give rise to particular concern where a position was one of providing care. Driving or drink offences would be relevant in situations involving provision of transport.
- 5) The age of the offence:** Offences which took place many years in the past may often have less relevance than recent offences. However, convictions for serious violent or sexual offences or serious offences involving substance abuse are more likely to give cause for continuing concern than, for instance, an isolated case of dishonesty committed when the person was young. The potential for rehabilitation must be weighed against the need to protect the vulnerable.

**6) The frequency of the offence/s:** a series of offences over a period, is more likely to give cause for concern than an isolated minor conviction.

**7) The degree of remorse;** or otherwise, expressed by the applicant and their motivation to change.

Anyone who is barred from working with children or adults commits an offence if they apply for, offer to do, accept, or do any work in a regulated position. It is also an offence for an employer knowingly to offer work in a regulated position to an individual who is barred from working with the client group, or to fail to remove such an individual from such work. The DBS inform the police if a barred person attempts to obtain work in a regulated position.

Following the review of the content of a DBS certificate, if you have any concerns about the suitability of the applicant or require further advice, please contact your HR Adviser. In these instances, you may need to ask the applicant to retain his/her copy of the certificate whilst a decision is made. If this is necessary, it is important that the certificate is always kept securely as the information contained on it is of a highly sensitive nature.

## Positive DBS Disclosure Risk Assessment Form

<b>CONFIDENTIAL – POSITIVE DISCLOSURE ASSESSMENT RECORD</b> Manager's Interview/ risk assessment form	
Name of applicant:	
Directorate/School:	Division:
Position Applied for:	
Disclosure No:	Disclosure Date:
Is there a pattern to the offences (if YES give details)? <div style="display: flex; justify-content: center; gap: 20px; margin-top: 5px;"> <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> Y                         <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> N                     </div>	
Is the nature of the offences similar? (if YES give details) <div style="display: flex; justify-content: center; gap: 20px; margin-top: 5px;"> <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> Y                         <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> N                     </div>	
Length of time since last offence?	
What is the person's explanation of the circumstances relating to the offences?	
Is the behaviour which constituted the offence, a cause for concern; If so why?	
Are the offences related to the type of work which will be undertaken? (Consider job description) <div style="display: flex; justify-content: flex-end; gap: 20px; margin-top: 5px;"> <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> Y                         <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> N                     </div>	
Will the applicant pose a potential risk to service users/colleagues? (if YES give details) <div style="display: flex; justify-content: flex-end; gap: 20px; margin-top: 5px;"> <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> Y                         <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> N                     </div>	
Will the applicant be offered employment? <div style="display: flex; justify-content: flex-end; gap: 20px; margin-top: 5px;"> <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> Y                         <input style="border: 1px solid black; padding: 2px 10px;" type="checkbox"/> N                     </div>	
<b>Please note before making a decision to withdraw a provisional offer of employment you must contact your HR Adviser.</b>	
Signed:	Print Name:
Date:	

**Please return the completed form the HR Employee Services Centre**

## Changes in 2013 to the Disclosure and Barring Service (DBS) process

With effect from 17 June 2013, the DBS (formerly CRB) are introducing the single certificate whereby only an applicant will receive a copy of the DBS Disclosure Certificate and the employer will not receive a copy. If the DBS check has been carried out using the paper method this will mean that we will be reliant on the applicant to inform us that they have received their certificate. Once the applicant has notified you of this, you will then need to arrange for them to bring it to the school. For certificates which are clear, you will then need to complete the first section of attached pro forma with the disclosure number and issue date and return to HR Shared Services team. Where there is content on the certificate, a full risk assessment process will need to be carried out using the pro forma.

As you may be aware the council has recently implemented on-line DBS checks using a system called e-bulk. Using e-bulk greatly reduces the overall processing time of DBS checks and validation on the system means that the quality of applications received are improved thereby reducing administration time and delays caused by sending back incorrectly completed forms. Using e-bulk, 75% of Enhanced Disclosures are returned within 5 days or less.

In order to use the e-bulk system, each school is set up with their own username and this can then be issued to DBS applicants to allow them to complete the form online. Using the e-bulk system means that schools will be notified via the system when a check has no content and will still be able to view the information below thereby reducing the need to complete the pro forma for certificates that are clear:

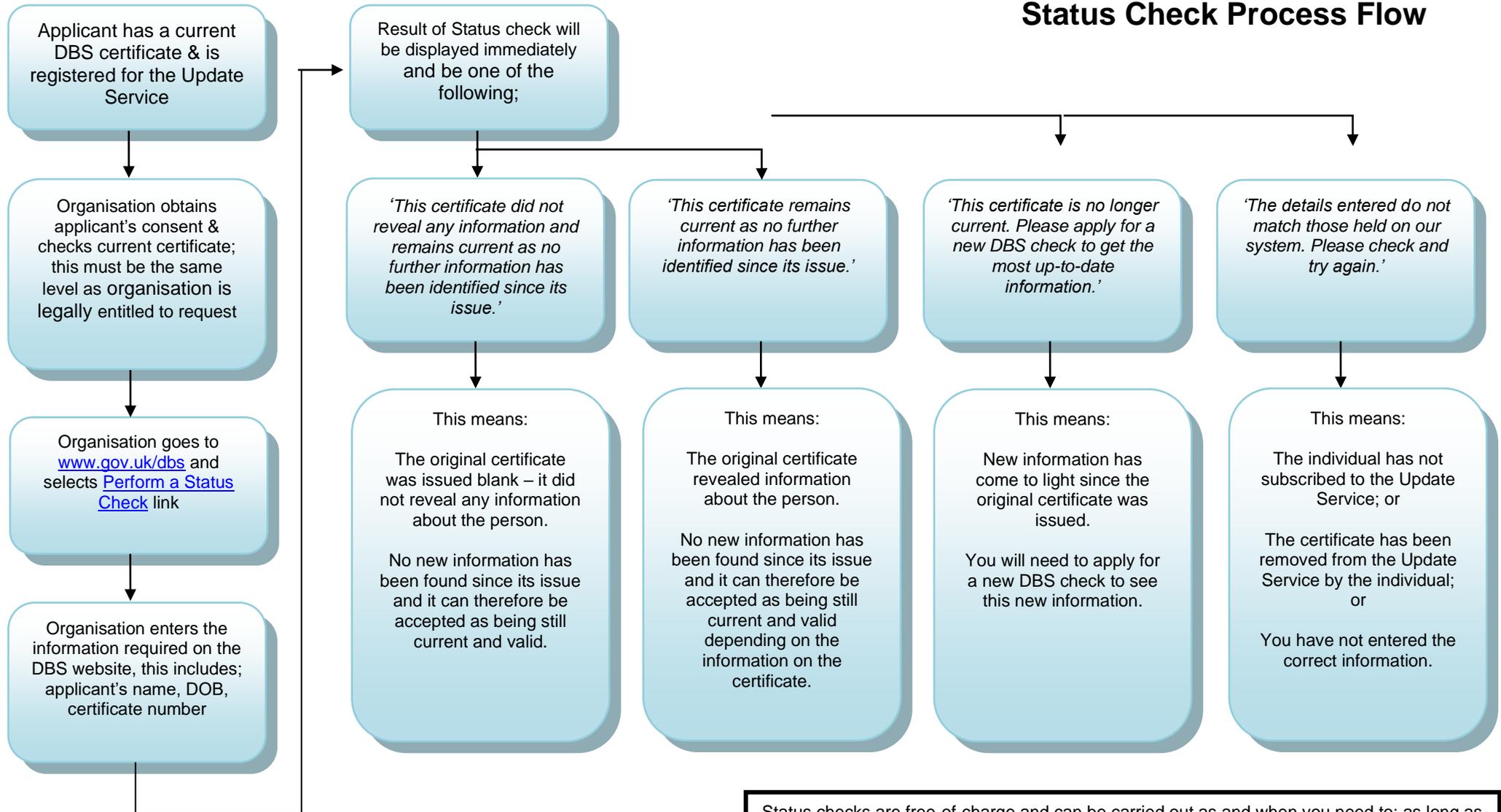
- completed certificate number
- date of issue
- certificate result (although we will not be able to view the actual certificate)

Where a certificate has content, however, e-bulk will display the message 'Please wait to view applicant certificate', in these instances, schools will need to arrange for the applicant to bring their certificate to the workplace and carry out a risk assessment using the attached form.

If you are interested in using e-bulk for your DBS checks, please contact [recruitment@solihull.gov.uk](mailto:recruitment@solihull.gov.uk) or telephone 0121 704 6188

Please note as the e-bulk system is provided by a separate organisation (Capita) rather than the DBS there is an additional charge of £1.95 per application as of December 2018.

## Status Check Process Flow



Status checks are free-of-charge and can be carried out as and when you need to; as long as you have the individual's consent for each check that you make (you may want to get consent each time you check or you could consider asking for on-going consent). You can choose to pay for or reimburse the applicant's annual Update Service subscription fee (£13). The individual will be able to see who has carried out a Status check, and when they did, from their online account.

## School Induction Programme: Guidance and Checklist



# SCHOOL INDUCTION PROGRAMME: GUIDANCE & CHECKLIST FOR HEAD TEACHERS & MANAGERS

For 'new employees' of School

<b>Employee's Name:</b>	
<b>Team:</b>	
<b>Line Managers' Name:</b>	
<b>E-mail Address:</b>	
<b>Phone No:</b>	

## SCHOOL INDUCTION PROGRAMME

### Guidelines and checklist for Head teachers/Line Managers

In order that a new employee is fully inducted into the school/service, it is important that you, as their Head teacher/Line Manager, follow the guidance below and complete this checklist.

NB: if you are an Academy, please check which employee benefits your School has bought into. The relevant areas are marked \*

<b>Before Your New Staff Member Arrives</b>		<b>Completed</b>	
		√	<b>Date</b>
1.	Head teacher/Line Manager to ensure that employee has provided: <ul style="list-style-type: none"> <li>• Birth Certificate, Marriage Certificate (if applicable), Passport, and any other documentation (ensuring copies are taken for the personal file) to confirm eligibility to work in UK.</li> <li>• Qualification Certificates (if not already taken at interview stage), take photocopies and certify as true copies of the originals and for teachers update the SCR to confirm this.</li> <li>• Medical clearance received from Occupational Health</li> <li>• Appropriate level of DBS clearance received.</li> </ul>		
2.	Identify where the new employee will sit/work and set up: <ul style="list-style-type: none"> <li>• desk and chair arranged where appropriate.</li> <li>• phones/computer (complete IT forms to ensure login ID and password are allocated, and e-mail/web access set up ready for the employee's first day).</li> <li>• security pass arranged, where appropriate.</li> <li>• other departments notified e.g. (Shared Services to set employee up on payroll).</li> <li>• supply of stationery (pens/pencils, etc).</li> </ul>		
3.	Draw up a local induction timetable (covering the employee's first 6 weeks) involving members of the team, setting out topics, dates times and duration of sessions. Each meeting may last 1-2 hours: copy of the timetable to be given to all those involved.		
4.	Inform all colleagues about the new employee's start date and what their role will be within the school/service.		
5.	Assign a 'buddy' to the new employee and discuss how they will guide the new employee throughout their induction period.		

<b>First Day</b>		<b>Completed</b>	
		√	<b>Date</b>
1.	<p>Head teacher/Line Manager to obtain from new employee (if not already obtained):</p> <ul style="list-style-type: none"> <li>• one signed copy of their Contract of Employment, for retention on personal file:</li> <li>• P45;</li> <li>• details of next of kin and emergency contact numbers (advising employee this information will be retained only by their line manager and on Oracle) vehicle or use a car as part of their role, Line Manager needs sight of (tick to confirm that all have been seen):</li> </ul> <p>If the new employee is required to either drive a Council/school vehicle or use a car as part of their role, Head teacher/Line Manager needs sight of (tick to confirm that all have been seen):</p> <ul style="list-style-type: none"> <li>• Driver's Licence <input type="checkbox"/> Insurance Certificate <input type="checkbox"/> MOT Certificate <input type="checkbox"/></li> </ul>		
2.	<p>Head teacher/Line Manager explains the school's objectives, as well as the purpose and structure of the school by:</p> <ul style="list-style-type: none"> <li>• discussing the employee's job description, ensuring they are clear about their role within the school.</li> <li>• providing a copy of the school's structure chart.</li> <li>• providing a copy of school's Vision and Values.</li> <li>• explain the Probationary Period for all staff and how this is structured.</li> </ul>		
4.	<p>Head teacher/Line Manager introduce new employee to members of school, including their Trainer ('Buddy'), immediate colleagues, team leaders and managers.</p>		
5.	<p>Head teacher/Line Manager to undertake a tour of the school and explains:</p> <ul style="list-style-type: none"> <li>• where to put coats/personal belongings.</li> <li>• location of toilets, rest room/kitchen(s).</li> <li>• location of photocopiers.</li> <li>• location of fire exits, assembly points and fire extinguishers (NB: fire extinguishers should only be used by appointed Fire Wardens who have been trained in their use).</li> <li>• stationery cupboard location and how to request items.</li> <li>• meeting room locations and booking procedure.</li> <li>• parking arrangements.</li> <li>• procedures for incoming/outgoing post.</li> <li>• notice boards(s) locations(s).</li> <li>• any other school customs and practices particular to your school/ service.</li> </ul>		
6.	<p>Head teacher/Line Manager to go through the following:</p> <ul style="list-style-type: none"> <li>• Safeguarding children and vulnerable adults – how to voice concerns.</li> <li>• Job related risk assessments which should include reference to safe working arrangements for minimising risks associated with lone working, emergency evacuation, driving, manual handling, stress.</li> <li>• Sickness &amp; absence, including school absence reporting procedure.</li> <li>• Explanation of working hours.</li> <li>• Lunch procedures/break times.</li> <li>• Annual leave arrangements, if full year, and requirement to take</li> </ul>		

	<p>annual leave during school closures if term time only.</p> <ul style="list-style-type: none"> <li>• Salary payment dates and salary period (i.e., 2 weeks in arrears, 2 weeks in advance);</li> <li>• Dress code.</li> <li>• Smoking policy.</li> <li>• 1:1's performance and development reviews.</li> <li>• Code of conduct, use of e-mails, the Intranet and Internet:</li> <li>• Use of phones – including the correct way to identify themselves when answering calls, making personal calls and use of personal mobile phones.</li> <li>• Job related risk assessments which should include reference to safe working arrangements for minimising risks associated.</li> <li>• Disposal of confidential documents.</li> <li>• Trade Unions – consultation, how to contact Union Representatives and how to join a Union through Payroll.</li> <li>• Cash handling instructions (where applicable).</li> </ul>		
7.	<p>Head teacher/Line Manager to advise the employee of standard training course they will need to undertake:</p> <ul style="list-style-type: none"> <li>• Safeguarding</li> <li>• Health &amp; Safety (which includes personal stress/manual handling etc).</li> <li>• Personal and Development Review Framework (how to conduct them/how to prepare them)</li> <li>• Fire Awareness</li> <li>• Data Protection</li> </ul>		
<b>Second Day</b>		<b>Completed</b>	
		√	<b>Date</b>
8.	<p>Head teacher/Line Manager to explain:</p> <ul style="list-style-type: none"> <li>• who Fire Wardens are (show notice board where list is displayed).</li> <li>• who First Aiders are, where First Aid Kits are located and how to report accidents.</li> <li>• IT 'dos and don'ts, use and security of computers and laptops.</li> <li>• security passes - how to use it, what to do if it lost.</li> <li>• eye test re-imburement.</li> <li>• Employee Benefit Scheme; (SMBC employees only)*</li> <li>• PPC on-line - Employee Assistance Programme (SMBC employees only)*</li> <li>• Use of standard document templates/letters.</li> </ul>		
9.	<p>Head teacher/Line Manager to explain the staff discount schemes to the new employee, how to apply for a 'Vectis' card and access Solihull staff discounts. (SMBC employees only)*</p>		
<b>Remaining 3 Days of First Week</b>		<b>Completed</b>	
		√	<b>Date</b>
10.	<p>Employee begins their local induction programme with immediate team.</p>		

11	Head teacher/Line Manager to introduce the following policies to the new employee, directing them to their relevant locations on the Extranet: <ul style="list-style-type: none"> <li>• Absence Management</li> <li>• Dignity at work</li> <li>• Capability</li> <li>• Disciplinary</li> <li>• Grievance</li> <li>• Whistleblowing &amp; Anti-Fraud</li> <li>• Health &amp; safety</li> <li>• Code of Conduct (staff behaviour policy)</li> <li>• School Safeguarding policies and protocols             <ul style="list-style-type: none"> <li>• - child protection policy and safeguarding policy</li> <li>• - behaviour policy (pupils)</li> <li>• - Safeguarding response to children who go missing from education</li> </ul> </li> <li>• -The role of the designated safeguarding lead</li> </ul>		
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**It is your responsibility, as Line Manager, to ensure that the above actions are completed, and dates applied as you work through the checklist.**

Probationary Period – Review Record		
Please refer to the Probation Procedure and Guidelines.		<b>Review Date</b>
As Line Manager, it is recommended that you set aside time every 6 weeks to review a new employee’s performance. <b>Please ensure that your HR Advisor is advised of any concerns regarding the employee’s performance.</b>		
<b>Please ensure you complete the separate Probationary Period Review Report for the employee</b>	6 weeks	
	12 weeks	
	18 weeks	
	24 weeks	
At the end of the probationary period, is the employee to be made permanent?		<b>YES/NO</b>
If ‘Yes’ from which date?		
If ‘No’ please state below the reasons for terminating the employee’s employment and provide evidence for your decision:		
Please state the date on which the employee’s employment is to be terminated:     /     /20		

**IMPORTANT:** Please ensure that this checklist has been **fully completed** with all relevant dates entered and signatures assigned, as indicated.

<b>New Employee's Name:</b>	<b>Signature:</b>	<b>Date:</b>
<b>Line Manager's Name:</b>	<b>Signature:</b>	<b>Date:</b>
<b>Inducted by (Name):</b>	<b>Signature:</b>	<b>Date:</b>

**When completed please return this checklist to your school office.**

Date checklist completed: -----

## Notes to accompany Model Single Central Record (SCR)

### PLEASE NOTE:

- Schools must maintain a SCR of pre-appointment checks which should include, all staff, including agency and third-party supply staff, even if they work for one day. For independent schools it should also include all members of the proprietor body. In the case of academies and free schools, this means the members and trustees of the academy trust.
- The SCR should be a consistent record and within the document where a column is not applicable, then N/A should be recorded leaving no blank columns. Showing that even if for that person the check was not required it was given consideration and not just overlooked or left blank in error.
- Even if staff only work at your school for a day, all staff must be added to the SCR.
- KCSIE 2023 guidance states it is good practice for schools to require new staff to join the DBS Update Service.
- Details of an individual should be removed from the SCR once they no longer work at your school.
- Schools may wish to record safeguarding and safer recruitment training dates on their SCR.
- Schools may wish to record that staff have been informed of their duty to disclose relevant information under the childcare disqualification arrangements on the SCR.
- Schools and colleges do not have to keep copies of DBS certificates in order to fulfil the duty of maintaining the single central record. To help schools and colleges comply with the requirements of the Data Protection Act, when a school or college chooses to retain a copy, it 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 the personnel file. Further information on handling DBS certificate information can be found on GOV.UK.
- There is no requirement for multi-academy trusts (MATs) to have separate single central records, but schools should ensure the record is securely stored and easily accessible to those who need to see it, including Ofsted inspectors.
- Schools should ensure that their SCR records are compliant with GDPR and the Data Protection Act 2018 and that all information is handled appropriately.
- There are three levels of DBS check:
  - standard DBS
  - enhanced DBS
  - enhanced DBS with children's workforce check. The enhanced DBS WITH children's workforce check is a DBS check with the barred list check; if this is obtained, there is no need to do a further barred list check.

**Note 1** – Identity Checks – The check should confirm name, date of birth, address and should have been a photographic form of identity (e.g., passport). This check can also help prove the persons eligibility to work in the UK. Evidence should be retained in the personnel file. If the person is engaged in regulated activity this should also be indicated.

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/550197/Regulated\\_activity\\_in\\_relation\\_to\\_children.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/550197/Regulated_activity_in_relation_to_children.pdf)

**Note 2** -Solihull schools should have DBS (formerly CRB) checked all staff who commenced duty after March 2002. There is no mandatory requirement to DBS check staff who have been employed in the same post continuously since before the date DBS checking started. There is no mandatory requirement to set in place a programme of 3 yearly DBS renewals for staff in schools. Where teachers are moving between Solihull schools and the check has been undertaken by Solihull and there has been no break in service and they are moving to the same or similar teaching post there is no requirement to recheck. If however a teacher is moving from a school outside of the Borough then a new check will be required. We only accept portability in these circumstances if the applicant has signed up to the Portability service with the DBS allowing us to check their details for ourselves. This would also be the same for Governors moving from school to school and those that may have a diocese check.

<https://www.gov.uk/government/organisations/disclosure-and-barring-service>

Portability enables staff to take up post quickly – however at this point the school may choose not to accept the portability, and request a new check, and are within their rights to do so. Please note that the DBS is portable if checked in Solihull for a Solihull school only, the other checks need to be undertaken (the SCR entry should not be copied from the previous employing school). We advise that whilst accepting the portability, you also take the opportunity to run a new DBS check.

**Note 3** – A Children’s Barred List check (formerly List 99) must be undertaken on all staff working in schools in regulated activity. This can be requested with the enhanced DBS (formerly CRB) check by clicking the drop down menu for “children’s workforce check”, this is the check against the Children’s Barred list. If by virtue of their start date and continuity of service, a member of staff has not been DBS checked, then the school must have undertaken a Children’s Barred List check. <https://www.gov.uk/disclosure-barring-service-check/dbs-barred-lists>

**Note 4** – Eligibility to work in the UK must be confirmed before the employee starts work. The record should indicate the document that was evidenced to confirm that right. UK and EEA nationals have that right (but must be able to prove it); others will probably need a permit this might only allow limited leave to remain in the UK. <https://www.gov.uk/legal-right-work-uk>. Right to Work evidence must be signed and dated and should be kept for at least two years after the person has left and then destroyed.

**Note 5** – Although you must still undertake a DBS check for staff that have lived overseas, it is necessary to undertake further checks with the country where they lived. These checks may include certificates of good conduct from local police forces or embassies or Overseas Criminal Record Check, follow ups to anything that is provided should be made (e.g. call the organisation that sent the document and/or make checks through embassies etc.) (When this scenario occurs you will need to check with DBS regarding the checks that need to be made as requirements regularly change and vary from country to country.)

<https://www.gov.uk/government/publications/foreign-embassies-in-the-uk>

<https://www.gov.uk/government/publications/criminal-records-checks-for-overseas-applicants>.

These checks should be undertaken for individuals who have been out of the UK for 6 months or more in the last 5 years. It is their responsibility to obtain a Certificate of Good Conduct. For UK Citizens working overseas, International Child Protection Certificates (UK) can be obtained.

**Holding a teaching qualification does not guarantee that an individual is suitable to work with children.**

**Note 6** – European Economic Area Check was a new safer recruitment check introduced 18<sup>th</sup> January 2016 to 18<sup>th</sup> January 2021 and required schools to check teacher restrictions imposed in Europe. Restrictions imposed by another EEA authority did not prevent an individual from taking up teaching positions in England. However, schools should consider the circumstances

leading to the restriction when considering a candidate's suitability. <https://www.gov.uk/teacher-status-checks-information-for-employers>.

For those members of staff recruited between the dates 18<sup>th</sup> January 2016 and 18<sup>th</sup> January 2021 this check should have been undertaken where appropriate and continues to be recorded.

**Note 7** – Where a qualification is a requirement of the post, it must be checked and confirmed as a part of the record, this includes QTS/PGCE/BEEd. Please note NPQH is no longer mandatory (but could be a desired qualification) and registration as a teacher with the DfE. This can also be done at the DofE, Teachers Services website as in note 3. You should always request original copies of any certificates and compare the information provided on them with what is included on the application form. Many certificates will be printed on good quality paper which may be embossed, include an intricate crest with motto, and a watermark. If you have any doubts about a certificate (including any spelling or grammatical errors), you should discuss your concerns with the educational establishment or professional body in question.

**Note 8** – Since April 2014 it has been a statutory requirement to check on appointment, to check that a teacher is not prohibited from teaching this check should also be undertaken for anyone who has been a teacher in the past. The SCR should contain the check details of all teaching staff employed. This check will be undertaken using the DofE, Teachers Services, online service this check will be undertaken by the Schools Shared Services Payroll team for those schools using the Councils payroll service. <https://www.gov.uk/teacher-status-checks-information-for-employers>

**Note 9** – Barred from Management Check (S128) is a requirement for Independent schools, free schools and academies however **maintained schools should undertake this check for Governors as if they are prohibited under section 128 they are also disqualified from holding or continuing to hold office as a governor of a maintained school.** If a new appointee is to occupy a management post in an independent school, academy, or free school as an employee, is to be a trustee of an academy or free school trust or is to be a governor or member of a proprietor body for an independent school, check whether the individual has been barred by the Secretary of State from taking part in the management of an independent school. This can be done through the DBS barred list checking process which now includes a barred from taking part in management; except when the individual is not in regulated activity, in which case the NCTL prohibitions list must be used instead. Please notify your HR payroll/shared services team where you require this check to be undertaken.

**Note 10** – Childcare (Disqualification) Regulations 2018 as part of the recruitment process all new employees will be asked to confirm they are not disqualified. The regulations prohibit anyone who is disqualified from working in relevant settings. These settings include schools and academies. Employees should be made aware that it is a criminal offence not to declare that they are disqualified. Anyone who is disqualified will need to be immediately removed from the relevant setting. Those staff providing childcare in education or early years group-based settings, undertake an enhanced DBS check with children's workforce check (barred list check). The barred list check confirms the disqualification element, in line with note 3 above.

Since 31<sup>st</sup> August 2018, **Disqualified by Association** is now only relevant for those involved in Childcare within their own homes. **This is no longer a requirement for schools.**

**Note 11** – Dates that the two employment references were obtained should be given here together with the name of the person that checked them. References should be retained on the individual personnel file.

With effect from September 2022 KCSIE 2022 states "As part of the shortlisting process schools and colleges should consider carrying out an online search as part of their due

diligence on the shortlisted candidates. This may help identify any incidents or issues that have happened, and are publicly available online, which the school or college might want to explore with the applicant at interview.” If this check is undertaken, it should be recorded on the SCR.

## **General Notes for SCR**

**Governors** – KCSIE 2021 does not require this information to be on the SCR. **(In Solihull we recommend that this information is kept on a separate sheet from the main SCR).**

The School Governance (constitution and Federation) (England) (Amendment) Regulations 2016, in force from 18<sup>th</sup> March 2016, require governors of maintained schools to have an enhanced DBS check.

Governors do not need barred list checks (Childrens Workforce Check) unless they are working in regulated activity. Schools will need to consider the level of check required for any governors working on site during the school day including if they are working in an unsupervised capacity.

Governors in maintained schools do not need right to work checks. The right to work in the UK is not one of the criteria to be a maintained school governor.

Governors in all schools will need to have a barred from management check (Section 128 Check) for all Governors in place from 1<sup>st</sup> September 2018.

**Volunteers** – KCSIE 2021 does not require this information to be on the SCR. **(In Solihull we recommend that this information is kept on a separate sheet from the main SCR).**

As many volunteers in schools work with children or have unsupervised access to them it is important that you record the checks undertaken on them.

**Supply Staff** – You **must** ensure that you have written confirmation from the agency that they have carried out all the necessary checks for every member of staff they supply to you (and attach this to the record). You **must** get a copy of the enhanced Disclosure and Barring Service (DBS) check from the agency where it disclosed any “matter or information” or “any information was provided to the employment business”.

The agency or third party **must** obtain the enhanced DBS certificate with barred list information (where this is required) for agency and third-party staff, prior to appointing the individual.

**School Catering Staff** – Where this group of staff are employed on a central contract they do not need to be on your main SCR as they are covered by the schools check letter. **(In Solihull we recommend that this information is kept on a separate sheet from the main SCR).**

If catering staff are employed by the school, they should still be listed on the school SCR as they are permanently based within your school. Temporary caterers working within your school will also require checking at an enhanced level and if working unsupervised with children will require a barred list check These should be included on the separate sheet as above.

**Site Managers** – Will require enhanced DBS with Barred list check if the work they are undertaking falls into the definition of regulated activity.

**Alternative providers** – where a school places a pupil with an alternative provider, the school continues to be responsible for the safeguarding of that pupil. Schools should obtain written confirmation from the alternative provision provider that appropriate safeguarding checks have been carried out on individuals working at the establishment, ie: those checks that the school would otherwise perform in respect of its own staff. We strongly recommend that this should be recorded on a separate single central record sheet.

**Contractors (including sports coaches, school photographers, etc.)** – Schools should set out safeguarding requirements in the contract you have together. Schools contract with a range of organisations and individuals; for example, sports coaches, school photographers, school improvement professionals, education welfare companies, catering, cleaning companies, maintenance organisations. Schools should consider all activities/letting arrangements to ensure appropriate checks are done and safeguarding arrangements are appropriate this can be done using a risk assessment e.g.:

- A football coach who works unsupervised but is not employed directly by the school whose CRB is say 2002 – he works on a Tuesday after school for 6 months of the year.
- A cricket coach who comes to the school for 6 weeks in the summer.
- Dance class held after school.

When such staff, are working in a supervised capacity with children, they should be DBS checked to enhanced level, and where they are working unsupervised with children should also have a barred list check if they are working in such a way that it could be considered in regulated activity this should also take into account the frequency in which they are working in specified environments as detailed in Keeping Children Safe in Education. **(In Solihull we recommend that this information is kept on a separate sheet from the main SCR).**

### **Teacher Trainees and Fee Funded Trainees**

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. If these trainee teachers are engaging in regulated activity relating to children (which in most cases by the nature of the work, they will be), an enhanced DBS check (including children's barred list information) **must** be obtained.

Where trainee teachers are fee-funded, it is the responsibility of the initial teacher training provider to carry out the necessary checks. Schools and colleges should obtain written confirmation from the provider that it has carried out all pre-appointment checks that the school or college would otherwise be required to perform, and that the trainee has been judged by the provider to be suitable to work with children.

Although you are not required to, you may still wish to record fee-funded trainees on the SCR. **DBS Referrals** - Schools and colleges have a legal duty to refer to the DBS anyone who has been removed from regulated activity and you believe they have:

- **Engaged in relevant conduct with children and/or adults**
- **satisfied the harm test in relation to children and/or vulnerable adults**
- **Been cautioned or conviction of a relevant, [automatic barring either with or without the right to make representations] offence**

When you remove an individual from regulated activity it's important you provide as much relevant information as possible when you make the referral to the DBS.

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

The DBS will consider whether to bar the person. Referrals should be made as soon as possible after the resignation, removal or redeployment of the individual. Guidance on referrals can be found on GOV.UK.

Where a teacher's employer, including an agency, dismisses or ceases to use the services of a teacher because of serious misconduct, or might have dismissed them or ceased to use their services had they not left first, they must consider whether to refer the case to the Secretary of State, as required by sections 141D and 141E of the Education Act 2002. The Secretary of

State may investigate the case, and if s/he finds there is a case to answer, must then decide whether to make a prohibition order in respect of the person.

**Work Experience** - Schools and colleges are not able to request an enhanced DBS check with barred list information for staff supervising children aged 16 to 17 on work experience.

If the activity undertaken by the child on work experience takes place in a 'specified place', such as a school or college, and gives the opportunity for contact with children, this may itself be regulated activity. In these cases, and where the child is 16 years of age or over, the work experience provider should consider whether a DBS enhanced check should be requested for the child/young person in question. DBS checks cannot be requested for children/young people under the age of 16.

**Host families – homestay during exchange visits** - Annex E KCSIE (2018) Clarifies that when 'homestays' are arranged by schools in the UK, that the responsible adults (i.e., parents) hosting children should be subject to an enhanced DBS and a barred list check (the DBS will process these without charge).

Schools are free to decide whether necessary to obtain an enhanced DBS in respect of anyone aged 16 and over in the household.

**DBS – Update Service** – In cases where an applicant or current employee informs us, they are paying into the DBS update service they will be able to provide you with an appropriate password to enable you to check through the DBS the most up-to-date picture of the persons record. Where this can be undertaken at the appropriate level of check for your purposes i.e., Enhanced check with children's workforce barred list check for instance, then this information can be used without undertaking a new, DBS. If the appropriate level check was not undertaken in the first instance, then a new check, will have to be carried out.

## **Visitors to Be Recorded in the Visitors Book**

You only need to check ID and be assured that the visitor has had the appropriate DBS check, for visitors attending in a professional capacity. e.g., Schools check letter.

Your safeguarding policies should set out arrangements for individuals coming onto the premises, which may include assessment of educational value, age appropriateness of what's going to be delivered and whether relevant checks will be required.

Schools and colleges have different types of visitors, those with a professional role i.e. educational psychologists, social workers etc. those connected with the building, grounds maintenance, children's relatives or other visitors attending an activity in school such as a sports day. For visitors provided via a third party see para 285-288 of KCSIE Part 3

Schools and colleges should not request DBS checks or barred list checks, or ask to see existing DBS certificates, for visitors such as children's relatives or other visitors attending a sports day.

Headteachers and principals should use their professional judgment about the need to escort or supervise such visitors.

# Suggested School Model SCR September 2023

# DOCUMENT

SUGGESTED SCHOOLS MODEL SCR 2023 (KCSIE 2023)																															
Headings in green must be completed				Headings in Amber may be completed				DBS (show if update service used) (Note 2)				Childrens Barred List (Note 3)		Right to work in the UK (Note 4)		Overseas Checks (Note 5) (Description of evidence of good conduct/overseas criminal record check)		European Economic Area (Note 6) (Description of Evidence seen) (18th January 2016 to 18th January 2021)		Qualifications (Note 7) (Include Teachers Reference No. since April 2014)		Prohibition from Teaching (Note 8) (check required from 3.4.2014 Formerly GTC)		Barred from Management Check S128 (Note 9) (Academies and Management Positions and Governors of maintained schools W/E 01.08.2018)		Childcare (Disqualification) Regulations (Note 10) (By Association not required from 31/08/2018)		Two Employment References (Note 11)		Online Search engine check at Shortlisting (from 01/09/2022)(Note 12)	Person who undertakes security check - Head teacher or Governor as part of the recruitment process
Employee, Governor	Identity Checks (Note 1)	DOB	Home Address	Description of evidence seen and date (where possible, included some form of current photographic identification)	Is this person engaged in regulated activity? Y/N	Enhanced Disclosure Number Detail if Barred List undertaken	Check made by and Date	Date Childrens Barred list undertaken	Check made by and date	What evidence of right to work in the UK was provided	Check Made by and date	Description of evidence - good conduct certificate/overseas criminal record check etc.	Check made by and date	Description of evidence seen	Date Check made	Is a qualification required for this post Y/N	What Qualification was Provided	Check made by and date	Date check undertaken	Check made by	Date Check undertaken	Check Made by	Declaration Completed by	Date	Reference 1 Obtained by and Date	Reference 2 Obtained by and Date	Date check undertaken and name of the person who did the check	Name, Job title and date			
Teacher 1st September 2018	John Smith	12.02.66	14 High Street, Solihull, West Midlands B91 3FP	Driving Licence, Passport Utility Bill 12th July 2018	Y	798483795 Enhanced DBS with barred list check (childrens workforce check)- Update service used	LA DBS Team 26th August 2018	26th August 2018 included in enhanced DBS workforce check	LA DBS Team	British Passport	B Powell 12th July 2018	N/A	B Powell 12th July 2018	N/A	26th August 2018	Yes	PGCE Certificate Teachers Ref. 4938765	A Prim (Admin) 12th July 2018	28th July 2018	LA Payroll Team	26th July 2018	LA Payroll Team	John Smith	12th July 2018	B. Powell 10th July 2018	B. Powell 10th July 2018	N/A	B. Powell Head Teacher 31st July 2018			
Governor- Always supervised in school 16th April 2017	Florence Jones	22.9.55	82 Ward Street, West Midlands B91 6PA	Driving Licence, Passport Utility Bill 9th April 2017	N	836288994 Enhanced DBS	LA DBS Team 9th April 2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	No	N/A	N/A	N/A	N/A	01.09.2018	A. Prim Bursar	N/A	N/A	A. Prim 02/04/2017	A. Prim 05/04/2017	N/A	B. Powell Head Teacher 20th April 2017				
Governor who works unsupervised in school during the school day undertaking governor work and has fob to enter the building 01/09/2018	Cieran French	23.08.60	10 West Mall, Shirley, Solihull B90 4ST	Driving Licence, Passport and Utility Bill 27th July 2018	Y	796729034 Enhanced DBS with barred list check (Childrens Workforce Check)	Lynn Watts Bursar 16.08.2017	16.08.2017 included in enhanced DBS workforce check.	Lynn Watts	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	01/09/2018	Lynn Watts Bursar	N/A	N/A	Lynn Watts 03/08/2018	Lynn Watts 04/08/2017	N/A	A. Price Chair of Governors 27th October 2018				
Contractor (Tennis Coach) 01/09/2018	Michael James	23.7.95	N/A	Letter from Employing Company 03.05.2017	Y	768976885 Enhanced DBS with barred list check (childrens workforce check)- Update Service	Lyn Watts Bursar 16.08.2017	03.05.2017 letter from employing Company	16.08.17	03.05.2017 letter from employing Company	11.08.2017	03.05.2017 letter from employing company	16.08.17	03.05.2017 letter from employing company	16.08.17	03.05.2017 letter from employing company	NVQ 3 diploma	16.08.17	03.05.2017 letter from employing company	16.08.17	N/A	N/A	N/A	N/A	N/A	N/A	N/A	A. Price Chair of Governors 27th October 2018			
PE Teacher 01.09.2018	Jane Brown	19.09.92	32 Richmond Road, Olton B94 6BH	Driving Licence, Passport Utility Bill 22nd July 2018	Y	8379237999 Enhanced DBS with barred list check	22.07.2018	22.07.18	B. Powell Office Manager	Passport	22.07.2018	Good conduct - Australian Embassy letter	B. Powell 15.2.2018	N/A	N/A	Yes	BTEC in SportsScience	A. Prim (Admin) 15.2.18	15.2.18	LA Payroll Team	N/A	N/A	N/A	N/A	B. Powell 15.2.18	B. Powell 15.2.18	N/A	G. Smith Head Teacher 7th September 2018			
Contractor Catering Assistant 01.09.2018	Julie French	27.07.1984	N/A	Letter from SMBC confirming all checks have been undertaken and this person is suitable to work with children. Checked ID by SMBC ID Card	Y	Letter from SMBC	23.07.18	Letter from SMBC 23.07.17	Letter from SMBC	23.07.17	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	G. Smith Head Teacher 7th November 2018			
Unsupervised Volunteer Parent - Hears Readers weekly unsupervised 04.09.2018	Mohamed Hussain	23.12.1979	23 Newborough Road, Shirley B90 4RD	Passport, Diving licence and utility bill	Y	3877659902 Enhanced DBS with Barred list check	Lynn Watts Bursar 02.08.2018	02.09.2018	Lynn Watts	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Lynn Watts 17.08.2018	Lynn Watts 06/08/2018	N/A	G. Smith Head Teacher 7th November 2018			
Supervised Volunteer Parent - Accompanies children to Church Service - Supervised 10.09.2018	Sara Timmins	14.09.1985	16 Sharnams Cross Road, Solihull, B91 3EH	Passport, Diving licence and HMRC tax letter	N	4876998555 Enhanced DBS	Lynn Watts Bursar 06.08.2018	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Lynn Watts 02/08/2018	Lynn Watts 08.08.2018	N/A	G. Smith Head Teacher 7th November 2018			
Supply Teacher 03.09.2018	Lam Lam	30.09.1989	N/A	Letter from Reed Agency confirming checks have been carried out 05.08.18	Y	3987659884 Enhanced DBS with Barred list check	Lynn Watts Bursar 05.08.2018	Letter from Reed 05.08.2018	Letter from Reed	05.08.2018	Letter from Reed	05.08.2018	Letter from Reed	05.08.2018	Letter from Reed	05.08.2018	Teaching Qualification Teachers Ref 2877645399	05.08.2018	Letter from Reed	05.08.2018	N/A	N/A	N/A	N/A	N/A	N/A	N/A	A. Price Chair of Governors 27th October 2018			
Alternative Provision - White Hatting Academy 01.09.2018	All Staff A. Nother B. Nother	23.08.1991 20.09.1989	N/A	Letter received from the setting dated 28.08.2018	Y	Letter received from the setting dated 28.08.2018	Lynn Watts Bursar 28.08.2018	Letter received from the setting dated 28.08.2018	Letter received from the setting dated 28.08.2018	28.08.18	Letter received from the setting dated 28.08.2018	28.08.18	Letter received from the setting dated 28.08.2018	28.08.18	Letter received from the setting dated 28.08.2018	28.08.18	Letter received from the setting dated 28.08.2018	28.08.18	Letter received from the setting dated 28.08.2018	28.08.18	N/A	N/A	N/A	N/A	N/A	N/A	N/A	A. Price Chair of Governors 27th October 2018			
Assistant Head	Sarah Reed	23.08.1980	10 Wootton Croft Blythe Valley, Solihull	Passport, Driving Licence and utility bill	Y	958876543 Enhanced DBS with Barred list check	Joan Sims Bursar 10.09.2022	10.09.2022	Joan Sims	N/A	Passport	N/A	Joan Sims 10.09.2022	N/A	Joan Sims 10.09.2022	Yes	PGCE Certificate Teachers Ref. 7895648	Joan Sims 10.09.2022	10.09.2022	Payroll Team	10.09.2022	Payroll Team	Joan Sims	10.09.2022	B. Powell 08/09/2022	B. Powell 08/09/2022	Joan Sims 08/09/2022	B. Powell Chair of Governors 12/09/2022			
<p>Those roles highlighted in yellow above no longer need to be included on your SCR. Schools may wish to keep an alternative record of these details for Contractors, Volunteers and Alternative providers. Visitors should be recorded in your visitors book.</p>																															

## Guidance

# Recruit teachers from overseas

How schools can hire teachers who are not UK or Irish nationals.

From:

[Department for Education](#)

Published

16 September 2020

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31 July 2021 — [See all updates](#)

## Applies to England

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## The points-based immigration system

The UK introduced a [points-based immigration system](#) on 1 January 2021. This affects how you employ teachers who are not UK or Irish nationals. All overseas nationals arriving in the UK from 1 January 2021, including those from the [European Economic Area \(EEA\)](#) and Switzerland, come under the points-based immigration system.

Irish citizens can continue to enter, work and study in the UK under the Common Travel Area as they could previously.

# Recruit by becoming a visa sponsor

## Skilled Worker visa

Overseas teachers can apply for a [Skilled Worker visa](#) up to 3 months before they start work in the UK under the following conditions:

- you, as the employer, are a licensed Home Office employer sponsor and have offered the overseas teacher a teaching job
- the overseas teacher can speak, read, write and understand English
- the role pays at least £20,480 or the relevant minimum rate for teachers in England, whichever is higher (minimum rates for teachers are on the [Get into Teaching website](#)) - if the role is part-time, pro-rata rates will apply as long as the salary is at least £20,480 a year

## Become a licensed sponsor

You need a sponsor licence to hire a teacher from overseas on a Skilled Worker visa.

You can be the employing local authority, multi-academy trust or school to hold the sponsor licence.

You can [check if you are already a licensed sponsor](#). You can become a licensed sponsor [by following this step-by-step guidance](#). This guidance covers further information about being a sponsor, including your responsibilities.

# Recruit without becoming a sponsor

## Graduate visa

The [Graduate visa](#) is available to international students who have successfully completed their degree in the UK and been sponsored by a Home Office licensed student sponsor. This includes certain postgraduate courses such as initial teacher training at universities.

Those on a Graduate visa will be able to work or look for work in the UK at any skill level without a sponsor for up to 2 years after completing their studies (3 years for PhD students). This includes working as a teacher.

Teachers on a Graduate visa will be able to apply to switch to another visa route such as the Skilled Worker visa without having to leave the UK if they meet the requirements for the other visa route.

## **Youth Mobility Scheme visa**

A [Youth Mobility Scheme visa](#) lasts for up to 2 years and is for young people aged 18 to 30 who have certain types of British nationality or are from certain countries. Teachers can work on this visa without a sponsoring employer.

Teachers on a Youth Mobility Scheme visa may be able to apply to switch to another visa route (such as the Skilled Worker visa) without leaving the UK. They'll need to meet the requirements for the other visa route.

## **Other visas**

Teachers on other types of visas may also be permitted to work in the UK. You can find out more about [Family visas](#) and the [UK Ancestry visa](#).

You can also find out more about the various documents that can be accepted when [checking a job applicant's right to work](#).

## **EU Settlement Scheme**

Citizens of the EEA or Switzerland might be able to apply to the EU Settlement Scheme to continue living, working and studying in the UK without applying for a visa.

The deadline for most people to apply to the EU Settlement Scheme was 30 June 2021.

Citizens of the EEA or Switzerland, and their family members, can still apply if they or a family member were living in the UK by 31 December 2020.

They must also either:

- meet one of the criteria for a later deadline to apply
- have 'reasonable grounds' for not applying by 30 June 2021

More information is available about the eligibility criteria for [later applications to the EU Settlement Scheme](#).

Applications to the EU Settlement Scheme can also be made by those who [already have pre-settled status and are applying for settled status](#).

## International travel during coronavirus (COVID-19)

Global travel, including to the UK, may be affected by coronavirus (COVID-19). Overseas nationals should check their country's advice as well as the UK's advice to keep up to date with [travel restrictions and self-isolation requirements on arrival in the UK](#).

The UK government has also published guidance about [what to do if you need a visa to travel to the UK](#) and has a COVID-19 immigration helpline which can be emailed at [CIH@homeoffice.gov.uk](mailto:CIH@homeoffice.gov.uk).

Further information is available for those affected by [changes to UK immigration and borders due to coronavirus \(COVID-19\)](#).

## Teaching vacancies

Schools can also advertise teaching roles free on DfE's [Teaching Vacancies](#) service.

## Getting qualified teacher status (QTS)

There are different arrangements for overseas teachers who want to get QTS.

If the teacher has a degree but has limited teaching experience, they can [train to teach on a course that will give them QTS](#). There is also [guidance on becoming a qualified teacher if they're not a graduate](#).

If they have a degree and more than 2 years teaching experience, they can achieve QTS by completing the [assessment only route](#) without doing more training.

If they are a qualified teacher from the following places, they can [get QTS without having to do teacher training or assessment only](#):

- Australia
- Canada
- the EU
- Gibraltar
- Iceland
- Liechtenstein
- New Zealand
- Northern Ireland
- Norway
- Scotland
- Switzerland
- USA
- Wales

There is [more information about QTS](#) and about [routes to QTS for teachers and those with teaching experience outside the UK](#). There is also information on [how overseas teachers can get into teaching in England](#).

## **Employing overseas teachers without QTS (the 4-year rule)**

Overseas teachers can teach in maintained schools and non-maintained special schools in England without qualified teacher status (QTS) for up to 4 years. This is called the 4-year rule.

It is illegal for overseas teachers to continue working as a teacher in a maintained school or non-maintained special school in England for longer than 4 years without QTS unless there is another legal basis to teach.

The 4-year rule applies to overseas teachers who meet all of the following conditions:

- they have qualified as a teacher in a country outside of the UK
- they have completed a course of teacher training that is recognised by the competent authority of that country
- they are employed in maintained schools and non-maintained special schools, but not a pupil referral unit

### **What you need to do**

If you are employing an overseas teacher, you should tell them:

- about the 4-year rule when you employ them
- that they need QTS (or another legal basis) to teach longer than 4 years in some types of school

There is guidance for overseas teachers who want to get QTS at [qualified teacher status \(QTS\)](#).

### **When overseas teachers can teach for longer than 4 years without QTS**

#### **Statutory leave**

Overseas teachers can teach longer than 4 years without QTS if, during that time, they have taken one of the following forms of leave:

- maternity leave
- paternity leave
- adoption leave
- parental leave
- shared parental leave
- time off because of pregnancy

If they have taken statutory leave, then overseas teachers can teach for longer than 4 years for an equivalent period of the statutory leave that they have taken.

**Example** If they took 34 weeks of statutory maternity leave during their 4-year period, they can then teach 34 weeks longer than 4 years before having to get QTS or teaching under another legal basis.

## Instructors

Overseas teachers can teach longer than 4 years if they are employed as an instructor. Instructors can teach subjects, including vocational training, that require special qualifications or experience (or both).

There is no definition of special qualifications and experience. These are matters that the local authority or governing body need to be satisfied with. An overseas teacher can only be employed as an instructor if they have the special qualifications or experience needed for the instructor post.

Overseas teachers can also work as teaching assistants (without QTS) for any period of time.

## Safeguarding checks for teachers from overseas

Candidates from overseas must undergo the same checks as all other staff in schools, including obtaining an enhanced DBS certificate with barred list information. This still applies even if the candidate has never been to the UK.

When recruiting, you must:

1. follow part 3 of [Keeping children safe in education \(KCSIE\) statutory guidance](#), which sets out the safer recruitment checks schools must conduct.
2. make any further checks they think appropriate so that relevant events that occurred outside of the UK can be considered - the Home Office provides guidance on [criminal records checks for overseas applicants](#).

3. carry out additional checks for teaching roles, which may include information about their past conduct, for example, by checking documents issued by overseas teaching authorities - you should also consider this evidence together with other information which you have obtained through other safer employment checks.

## Acclimatisation support

Help teachers from overseas to become familiar with our curriculum and the systems and policies specific to your school. You can do this by:

- helping to secure local accommodation
- allocating a mentor to support with lesson planning, behaviour management strategies or peer observations

You may also want to offer a detailed induction that includes:

- details of key staff, timetable and tutor group (if applicable)
- behaviour management strategies for the classroom, the school's behaviour policy - rewards and sanctions, what support is available and when it should be sought
- tour of the school
- health and safety
- safeguarding policy
- use of computers and software (for example, General Data Protection Regulation, acceptable use policy, whiteboard training, staff email)
- management information system training (for example, SIMS) to include taking registers, behaviour and rewards, student progress data
- school day and calendar (for example, lesson times, hours, staff meetings and briefings, term dates, inset days, parents' evenings)
- key school policies to include behaviour, sanctions and rewards, assessment, teaching and learning, special educational needs and disabilities
- reception and visitors to school protocols
- shared resources (for example, teaching resources, exam board specifications, schemes of work and lesson plans, equipment, stationery)
- CPD and staff training

- protocols for absence and illness reporting
- professional expectations (for example, dress code)
- performance management and probationary procedures



This document has been compiled to assist Local Authorities and schools with general queries regarding Keeping Children Safe in Education 2022's online checks requirements. For any specific queries or cases which arise, schools should seek appropriate HR or legal advice.

### **1. What is the new online search requirement?**

With effect from 1 September 2022 a new requirement for online checks has been included in Keeping Children Safe in Education 2022. The requirement can be found in KCSIE as follows:

Part 3 - Safer Recruitment

Shortlisting – Paragraph 220 which states:

“220. In addition, as part of the shortlisting process schools and colleges should consider carrying out an online search as part of their due diligence on the shortlisted candidates. This may help identify any incidents or issues that have happened, and are publicly available online, which the school or college might want to explore with the applicant at interview.”

### **2. What is the background to this new requirement?**

It is understood that the requirement has been introduced following a case arising from an overseas appointment. Different countries do not have the same rules as the UK on how convictions are recorded and retained. In the case which is thought to have led to this change a person was recruited into a school from overseas and had in their home country been convicted of a very serious offence against a child. The offence was not shown on their criminal record because they had been under 18 at the time so, according to the rules in that country, the criminal record was clear. This offence is likely to have been discovered if an online check was carried out.

### **3. Is this check mandatory**

KCSIE states that schools “should consider” carrying out checks as part of their due diligence rather than “must carry out checks”. However, given the statutory nature of the guidance, there would have to be a significant reason why such checks are not carried out and no such reasons have been identified or tested at present. If an establishment decides not to carry out checks this should be clearly stated in their recruitment policy with the reason recorded. Currently, the regional advice is that these checks should be carried out.

### **4. Who should schools carry out these checks on?**

Schools should only carry out online checks for shortlisted candidates and not all applicants. Online checks should not be used therefore as part of the shortlisting process. . These checks apply to all teaching and non-teaching posts in schools with effect from 1 September 2022.

#### **5. What should be involved?**

A general online search of publicly available information. Schools should be consistent in their methods.

#### **6. What should schools be looking for?**

Schools should be aware that as part of a safeguarding check, only information which is relevant to an individual's suitability to work with children should be considered. Any information which does not raise any question about candidate suitability to work with children must not be used to exclude a candidate from the process or from being appointed.

#### **7. Who should carry out the checks?**

It is recommended that, where possible, a person not involved in the appointment decision carries out the checks and only passes any relevant information to those involved in appointment. This is so that only relevant information is shared with the decision makers so that it can be followed up at interview.

#### **8. Should schools ask for social media account details from shortlisted candidates?**

No. It is not the intention of the guidance that social media accounts are examined in detail by schools. The wording in the final guidance was changed to online checks rather than "social media" checks. This would require significant resources and could leave schools open to challenge should information arising from such checks and not linked to suitability to work with children be used in appointment decisions. This approach would bring many other risks including that the school would only be checking social media accounts put forward by the candidate. This would not reveal other accounts held by the candidate or information that would arise from a general online check of publicly held information. The focus **must** be on information which is linked to the suitability to work with children.

#### **9. Is it necessary to pay an organisation to carry out checks?**

Whilst some organisations offer a paid for service to carry out extensive online checks, it is believed that these go above and beyond the intention of the guidance and for example, may include significant examination of social media accounts . Again, any information not linked to a candidate's suitability to work with children which is obtained from online checks and used in appointment decisions could be open to challenge. Therefore, this is not recommended.

#### **10. What will Ofsted require schools to do?**

Ofsted will check the school's single central record (SCR) for evidence of pre-employment due diligence checks. The SCR should now include confirmation that the online check has been carried out. This guidance is effective from 1 September 2022 so all appointments on or after this date should include this information. It is understood that the Ofsted Handbook will be updated and any information for schools arising from this will be shared through the Regional Schools HR group.

### **11. How should schools record searches?**

Schools should record all recruitment due diligence checks on their single central record. All information held on unsuccessful candidates should be destroyed in line with the school's disposal schedule, as recommended by their HR provider.

### **12. Do adverts need to be changed to inform candidates of online checks?**

Safeguarding statements on adverts which confirm pre-employment checks will be carried out in line with KCSIE will be sufficient, however, any information provided to shortlisted candidates should be updated to explain what pre-employment checks will be carried out and what this entails with regards to the specific school's method of online checks.

### **13. What do schools need to consider when carrying out checks?**

Schools need to consider updating their recruitment and selection policy to ensure it includes any details regarding the school's method of online checking of shortlisted candidates. Information should be provided to candidates in the same way that they are informed of other checks and due diligence requirements connected to the post in school. Schools should be mindful of their own resources when deciding how to carry out checks. Of utmost importance is to ensure that the purpose of this check is to identify any information which is connected to the suitability of the individual to work with children. Any other information obtained should not be used in the recruitment process. All information should be handled, processed and stored within GDPR requirements.

### **14. What should happen in relation to contractors and agency/supply staff?**

Agency and contractors need to have checks done by the appropriate employer or agency schools are required to record on the SCR these checks have been satisfactorily carried out.

KCSIE states that:

Schools and colleges must obtain written notification from any agency, or third-party organisation, that they have carried out the same checks as the school or college would otherwise perform on any individual who will be working at the school or college (or who will be providing education on the school or college's behalf, including through online delivery). In respect of the enhanced DBS check, schools and colleges must ensure that written notification confirms the certificate has been obtained by either the employment business or another such business.

Schools should contact suppliers/agencies that they use to ensure appropriate checks are being carried out in relation to this requirement or to obtain a statement from the agency/supplier to

confirm they are not carrying out such checks and the reason. Schools will then need to decide if they continue to use the agency or supplier.

## DOCUMENT 21

### **Criminal records self-declaration form** (Maintained Schools)

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As part of our duty to safeguard pupils, we need to check whether you are barred from working with children, or whether you have convictions that would make you unsuitable to work with children or in the role you've applied for.

Please complete the following form as accurately as possible.

**Note:** you are not required to disclose convictions or cautions that are 'protected', as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended in 2013). If you're not sure whether one of your convictions is 'protected', you can [check here](#).

If you accidentally provide information about 'protected' convictions or cautions, we will not take this into account.

#### **How we'll use this information**

We'll use the information in this form to:

Identify whether you may be ineligible for a role based on barring or childcare disqualification requirements.

Inform our conversations with you about any relevant details during the interview process.

We will not use this information to make decisions about job offers.

If we offer you a position, we'll compare the information you've provided in this self-declaration with the information in your formal DBS check so that we only make decisions based on the most accurate information possible.

Name	
Name	
Role	
Role	

#### **Self-declaration**

	Yes/No
<p><b>Delete this question if the role you're recruiting for isn't in regulated activity.</b></p> <p>The role you've applied for is 'regulated activity', so is eligible for a barred list check.</p> <p>Are you 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>Do you have any unspent conditional cautions or convictions under the Rehabilitation of Offenders Act 1974?</p>	
<p>Do you have any adult cautions (simple or conditional) or 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>Have you committed an offence overseas which would have resulted in disqualification if it had occurred in the UK?</p>	
<p><b>Delete this question if the role you're recruiting for isn't in covered by <a href="#">childcare disqualification requirements</a></b></p> <p>Have any orders relating to the care of children, as set out in schedule 1 of the Childcare (Disqualification) and Childcare (Early Years Provision Free of Charge) (Extended Entitlement) (Amendment) Regulations 2018, been made in respect of you?</p> <p>This includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>➤ Orders disqualifying you from caring for children</li> <li>➤ Orders disqualifying you from private fostering</li> <li>➤ Any refusal of an application for you to be registered in relation to a children's home</li> <li>➤ Care/child protection orders issued in respect of a child in your care</li> </ul>	
<p><b>Delete this question if the role you're recruiting for isn't in</b></p>	

	Yes/No
<p>covered by <a href="#">childcare disqualification requirements</a>.</p> <p>Have you been convicted of committing, or been given a caution, reprimand or warning since 6 April 2007 for, any offences set out in regulation 4 and schedules 2 and 3 of the Childcare (Disqualification) and Childcare (Early Years Provision Free of Charge) (Extended Entitlement) (Amendment) Regulations 2018?</p> <p>This includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>➤ Any offence against or involving a child</li> <li>➤ Any sexual offence</li> <li>➤ Any violent offence, i.e. murder, manslaughter, kidnapping, false imprisonment, actual bodily harm (ABH), or grievous bodily harm (GBH)</li> </ul>	
<p>Do the police or children’s social care have your name and/or information on file for any reason?</p>	
<p>If you answered ‘yes’ to any of the questions above, please provide further information.</p>	

I confirm that the information above is accurate to the best of my knowledge, and that I will make the school aware of any changes in my circumstances that may affect the answers I’ve provided above, or my suitability for the post.

Signed:

Date:

## Criminal records self-declaration form (academies)

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As part of our duty to safeguard pupils, we need to check whether you are barred from working with children, or whether you have convictions that would make you unsuitable to work with children or in the role you've applied for.

Please complete the following form as accurately as possible.

**Note:** you are not required to disclose convictions or cautions that are 'protected', as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended in 2013). If you're not sure whether one of your convictions is 'protected', you can [check here](#).

If you accidentally provide information about 'protected' convictions or cautions, we won't take this into account.

### How we'll use this information

We'll use the information in this form to:

- Identify whether you may be ineligible for a role based on barring, a section 128 direction or childcare disqualification requirements.
- Inform our conversations with you about any relevant details during the interview process.

We won't use this information to make decisions about job offers.

If we offer you a position, we'll compare the information you've provided in this self-declaration with the information in your formal DBS check so that we only make decisions based on the most accurate information possible.

Name	
Role	

## Self-declaration

	YES/NO
<p>Delete this question if the role you're recruiting for isn't in regulated activity.</p> <p>The role you've applied for is 'regulated activity', so is eligible for a barred list check.</p> <p>Are you 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>Do you have any unspent conditional cautions or convictions under the Rehabilitation of Offenders Act 1974?</p>	
<p>Do you have any adult cautions (simple or conditional) or 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>Have you committed an offence overseas which would have resulted in disqualification if it had occurred in the UK?</p>	
<p>Delete this question if the role you're recruiting for isn't a management position.</p> <p>Are you subject to a section 128 direction?</p>	
<p>Delete this question if the role you're recruiting for isn't in covered by <a href="#">childcare disqualification requirements</a></p> <p>Have any orders relating to the care of children, as set out in schedule 1 of the Childcare (Disqualification) and Childcare (Early Years Provision Free of Charge) (Extended Entitlement) (Amendment) Regulations 2018, been made in respect of you?</p> <p>This includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>➤ Orders disqualifying you from caring for children.</li> <li>➤ Orders disqualifying you from private fostering.</li> <li>➤ Any refusal of an application for you to be registered in relation to a children's home.</li> <li>➤ Care/child protection orders issued in respect of a child in your care.</li> </ul>	
<p>Delete this question if the role you're recruiting for isn't in covered by <a href="#">childcare disqualification requirements</a></p> <p>Have you been convicted of committing, or been given a</p>	

	YES/NO
<p>caution, reprimand or warning since 6 April 2007 for, any offences set out in regulation 4 and schedules 2 and 3 of the Childcare (Disqualification) and Childcare (Early Years Provision Free of Charge) (Extended Entitlement) (Amendment) Regulations 2018?</p> <p>This includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>➤ Any offence against or involving a child.</li> <li>➤ Any sexual offence</li> <li>➤ Any violent offence, i.e., murder, manslaughter, kidnapping, false imprisonment, actual bodily harm (ABH), or grievous bodily harm (GBH)</li> </ul>	
<p>Do the police or children’s social care have your name and/or information on file for any reason?</p>	
<p>If you answered ‘yes’ to any of the questions above, please provide further information.</p>	

I confirm that the information above is accurate to the best of my knowledge, and that I will make the school aware of any changes in my circumstances that may affect the answers I’ve provided above, or my suitability for the post.

Signed:

Date: