



Single Central Record (SCR), Personnel Files and Safer Recruitment Policy

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REVIEW HISTORY

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0.1	15.09.22	Draft	
2.0	29.08.23	Minor changes to dates and formatting	
3.0	08.11.24	Minor changes to dates and KCSIE references and evidence to upload to the Online SCR Added new link to check a teacher's record Added new link to Section 128 check Updated paragraph regarding DBS renewals	

This policy should be read in conjunction with and is linked to the current Trust policies on:

- Retention of Documents
- Safeguarding Policy

This policy is not intended to be exhaustive and should be read in conjunction with [Keeping Children Safe in Education, September 2024](#), part 3.

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Summary of policy

This Policy sets out employer responsibilities and requirements in relation to safer recruitment, pre-employment checks, and maintenance of the Single Central Record including ongoing employment checks.

1. Introduction and Purpose

- 1.1 It has been a requirement since 2007 that all schools must maintain a Single Central Record (SCR) of recruitment and vetting checks.
- 1.2 This Policy applies to all staff involved in recruitment processes, especially to Headteachers, school SCR leads and the Trust Central Services team who have responsibility and oversight of the maintenance of the school SCR.

2. Legislation and Regulation

- 2.1 The legislative requirement for maintaining a SCR is detailed in the original publication "*Safeguarding Children and Safer Recruitment in Education (2007)*" and expectations set in the annually updated Keeping Children Safe in Education (KCSIE).

3. Format of the SCR

- 3.1 All Academies must use the [Online SCR](#) solution for the SCR and must complete all headings. They must also comply with the arrangements detailed in this Policy.
- 3.2 There must be a member of staff on site that can access the SCR. It must be accessible to the Headteacher, school SCR lead (usually a senior administrative member of staff) and Trust Central Services. Each Headteacher will have access to the Trust Central Services SCR by request.

4. Who should appear in the SCR?

- 4.1 Paragraph 275 of "Keeping Children Safe in Education, September 2024" states that the SCR must cover the following people:

All staff, including teacher trainees on salaried routes, agency and third-party supply staff who work at the school and the members and trustees of the Trust.

- 4.2 The SCR must therefore include:

- All staff who are employed directly by the school
 - All long-term supply/agency staff and daily supply
 - Any volunteer who works regularly with children
 - All who are engaged in “Regulated Activity”
 - Local Governing Body members, Trustees and volunteers
 - People brought into the school to provide regular additional teaching or instruction but who are not staff members, such as Sports Coaches, Peripatetic Music Teachers, Artists etc
 - Regular contract staff such as contract cleaners or caterers
 - Visitors who are in the school on a ‘regular’ basis must be on the SCR.
- 4.3. In this context, ‘regular’ means carried out by the same person frequently (once a week or more often), or on 4 or more days in a 30-day period (or in some cases, overnight). **Appendix 5** details the visitor protocol guidance.
- 4.4. Regulated activity (p66, KCSIE, 2024) includes:
- a) teaching, training, instructing, caring for (see (c) below) or supervising children if the person is unsupervised, or providing advice or guidance on 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
 - 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 for reasons of age, illness or disability, with eating drinking, or in connection with toileting, washing, bathing and dressing. Health care means care for children provided by, or under the direction of supervision of a regulated health care professional.
- 4.5. Work under (a) or (b) is regulated activity only if done regularly.
- 4.6. Work under (c) is always regulated activities, regardless of their frequency or whether they are supervised or not.
- 4.7. Volunteers who carry out unsupervised teaching or look after children regularly, or who provide personal care on a one-off basis in schools will be in regulated activity. They must be added to the SCR.

- 4.8. Agency staff and contractors must be included in your SCR. Contractors used regularly by Trust Central Services will be held on the OAK Trust SCR (available on request by the Headteacher).
- 4.9. Schools must obtain written notification (See Letters of Assurance **Appendix 3**) from any agency or third party to confirm that the relevant checks have been completed. This includes obtaining 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. The school must also check that the person presenting themselves for work is the same person on whom the check has been made.
- 4.10. The details from the agency must be recorded on the SCR and the date the information is received. **The confirmation must be scanned and attached to the Online SCR record.** The agency must be contacted if they have not provided the information required.
- 4.11. On occasions where a third-party's policy is not to provide an individual letter of assurance, such as for employees of the Local Authority, the confirmation letter of checks completed by the third-party should be uploaded to the SCR, along with a risk assessment (see **Appendix 4**). Para 308, KCSIE 2024, says '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).'
- 4.12. All non-school staff who the Trust employ (i.e. Trust Central Services) or coordinate to engage with schools (i.e. Trustees) in regulated activity are recorded on the 'OAK Trust' SCR. This includes all relevant safer recruitment checks in line with statutory guidance and enables those staff to show their OAK Trust identification and OAK Trust lanyard (OAK logo and blue) in order to access the school site (in addition to a Trust letter of assurance issued by Central Services). This information is shared with Headteachers as appropriate and on request. It is not needed to include on your SCR any visitors to the school, work experience students or occasional volunteers (unless they are in regulated activity). A risk assessment must be carried out for every volunteer and Code of Conduct read, understood and signed (see **Appendix 7**).
- 4.13. Trainee/student teachers that receive a salary must have the necessary checks carried out by the school. Where trainee teachers are fee funded it is the responsibility of the initial teacher training provider to carry out the necessary checks. Schools should obtain written confirmation from the training provider that

these checks have been carried out and that the trainee has been judged by the provider to be suitable to work with children.

- 4.14. There is no requirement for the school to record details of fee-funded trainees on the SCR. However, these will be recorded as volunteers on the SCR if 4.3 applies.
- 4.15. Some visitors are required to be on the SCR, for example local businesses, adults that listen to children read, etc.
- 4.16. OAK Trust staff must present their badges (on their blue Trust lanyard) when visiting the schools. It is not required to request further identification or issue another lanyard. The OAK Trust member of staff should wear their own Trust lanyard around the school. A letter of assurance will be provided to each school covering Trust Central Services staff confirming that all necessary checks have been undertaken and each respective member of staff should be considered as an 'Approved visitor'. See **Appendix 5** for Visitor protocols.
- 4.17. The SCR should reflect your current workforce. When someone leaves the school, you should remove the record from the SCR. Where agency staff are likely to return, their data may be archived. A purge of this data should occur termly.

5. What information should be recorded on the SCR

- 5.1. The SCR is maintained to record and reference the pre-employment checks within a single comprehensive document.

The statutory guidance states: "*The information that must be recorded in respect of staff members (including Teacher trainees on salaried routes) is whether or not the following checks have been carried out or certificates obtained, and the date on which the checks were completed*":

- an identity check (birth certificate preferred), including photo ID where possible;
- a barred list check (see sections 9 and 11 for guidance);
- an enhanced DBS check/certificate;
- a prohibition from teaching check;
- further checks on people living or working outside the UK (including right to work checks for EEA citizens);
- a check of professional qualifications;
- a check to establish the person's right to work in the UK; and
- a section 128 direction check for those involved with school management.

- 5.2. Under each of these headings the guidance states you should record:

- what has been seen;
 - when it was seen; and
 - by whom it was seen (full name).
- 5.3 The Online SCR format for the SCR complies with the statutory regulations and best practice to support schools in delivering the principles of Safer Recruitment. As a result, OAK Trust schools will also record the following non-statutory information (may be in 'additional checks'):
- whether two suitable references have been seen for each employee (or risk assessed in the case of long-standing employees) See **Appendix 11**.
 - whether relevant staff have been informed of their duty to disclose relevant information under the childcare disqualification arrangements;
 - checks made on Trustees / governors;
 - checks made on volunteers;
 - dates on which a safeguarding induction took place and subsequent safeguarding training updates;
 - employment history checks;
 - safer recruitment training checks;
 - checks made on fitness to work; and
 - any additional training checks that the school deems appropriate.
- 5.4 You must never leave an uncompleted field. If not applicable, select 'not required'. 'Optional' should not be utilised in any school / Trust SCR. The Online SCR record should be a true reflection of any relevant personnel file.
- 5.5 Where written confirmation (see Letter of Assurance in **Appendix 3**) is received from employers of agency workers or contractors, this will be evidenced in the 'Agency Safeguarding' or 'Contractor Safeguarding' elements of Online SCR. **Evidence of the form should be scanned and attached to the Online SCR record.**
- 5.6 It is often useful to include notes on the SCR if there has been additional information required. For example, if a DBS certificate hasn't arrived then you would need to do a separate barred list check and a risk assessment. You must add a note on the SCR that indicates that a risk assessment is on file.
- 5.7 **Disqualification:** Schools must ensure that they are not knowingly employing a person who is disqualified in connection with relevant childcare provision. This is achieved primarily through applications to the Disclosure and Barring Service (DBS). In support of this, schools should take an opportunity to create the right culture and environment so that staff feel comfortable, where it's appropriate, to discuss matters outside of work, which may have implications for the safeguarding of children in the workplace.

- 5.8 In line with [Statutory Guidance: Disqualification under the Childcare Act 2006](#), any staff working with under 5's, under 8's in out of school hours or those involved in the management of such provision will be verbally reminded by the Headteacher (or Trust Central Services to the Headteacher) to self-declare if they are disqualified through meeting the 'Disqualification under the Childcare Act 2006', to inform the School if your relationships and associations may have implications for the safeguarding of children, and to inform the School of any changes in circumstances in relation to disqualification. Each member of staff will be required to sign to acknowledge their understanding of this guidance (**Appendix 10**).
- 5.9 Each school SCR contains a record labelled 'Disqualification from Childcare' and this will include a record of all staff (including volunteers - other non-contracted staff are covered through the Letter of Assurance, **Appendix 3**) with the date of when the above verbal reminder was completed and signed by the member of staff (MOS) to acknowledge receipt. NOTE: If a MOS provides a positive disclosure then Trust Central Services team should be contacted to inform next steps. Evidence of the form should be scanned and attached to the **Online SCR** record.
- 5.10 No new-starter can commence employment without all appropriate pre-employment checks in place unless there is formal authorisation via email from the Trust HR Manager or CEO. This must include a completed risk assessment by the Headteacher on behalf of the member of staff and a Barred List Check.

6. Identity Checks

- 6.1. The documents you check must confirm name, date of birth, address and should be in a photographic form of identity such as a passport or driving licence. A birth certificate is preferred as one source.
- 6.2. If the individual cannot provide any form of photographic evidence you should try to seek more than one additional form of ID along the lines required by the [DBS checklist](#).
- 6.3. They must be able to show:
- One document from Group 2a
 - Two further documents from either Group 2a or 2b
- 6.4 At least one of the documents must show the applicant's current address.
- 6.5 **You must see originals.** Photocopies must never be accepted.

- 6.6 Record on the SCR the evidence you have seen, e.g. passport, driving licence etc., plus the date it was checked and the name of the person who checked it. For historic checks, the name of the person who checked it and the associated date will be recorded on the SCR and documentary evidence will be contained in the personnel file.
- 6.7 Take a copy of the photo identity document, sign, and date that the original has been seen and hold the copy in the personnel file.
Evidence of the form should be scanned and attached to the Online SCR record.

7. Qualifications and Registration

- 7.1. You must record the professional qualifications **that are a requirement of the job**, e.g. Qualified Teacher Status (QTS) for a teacher or perhaps an NVQ2 for a Teaching Assistant. For historic checks, the name of the person who checked it and the associated date will be recorded on the SCR and documentary evidence will be contained in the personnel file.
- 7.2. If the person needs to be registered with any other professional body to do the job, such as a health care professional, you also need to record that you have carried out the relevant checks.
- 7.3. Record the qualification/s that you have evidenced, the date seen and who has checked it. Remember, if you want to check **all** qualifications you may choose to do so but you are only required to check the qualifications that are relevant for the job.
- 7.4. Copy the documents, sign and date that the original has been seen and hold the copy in the personnel file. Evidence of the form should be scanned and attached to the Online SCR record.
- 7.5. If the person has an overseas qualification and you are unsure of its comparability to a UK qualification you can check this with the Trust HR Manager or direct with various websites such as www.ecctis.com
- 7.6. Updates from 'Recruit teachers from overseas' (GOV.UK, 2020, updated 2024) provides further information.

8. Prohibition Check

- 8.1. Since 3rd April 2014, it has been a statutory requirement that a Prohibition Order check must be made for any teacher the school employs. This does not apply to other staff groups although checks are completed on professional services staff if

they provide small teaching- based sessions i.e., a Teaching Assistant working with a group of 5 children on a writing intervention.

8.2. This is **not** the same as a Barred List check (obtained via the DBS). Teacher prohibition orders are made by the Secretary of State following consideration by a professional conduct panel convened by the Teaching Regulation Agency (TRA). The prohibition check can be made via <https://check-a-teachers-record.education.gov.uk/>This is a free service for schools, local authorities and supply agencies in England to check the record of any teacher they are considering employing. New teachers joining **OAK Trust will also have a prohibition check completed 12 months after 1 year's employment anniversary to ensure no record exists of any TRA that may have been in progress at the point of recruitment.**

8.3. Through the above website, schools can check:

- teacher's personnel details;
- initial teacher training qualifications;
- qualified teacher status;
- induction status;
- supplementary qualifications;
- details of any active sanctions;
- a suspension or conditional order imposed by the General Teaching Council for England (prior to abolition) that is still current;
- prohibition from teaching;
- barred List check.

8.4 In the absence of the QTS number you can check on the above website, and whilst you cannot enter the number to do a personnel check, you can click on **Teachers prohibited from the profession**. This provides a full and comprehensive list of all staff with QTS, QTLS or unqualified that have any sanctions against them.

8.5 This service will also identify any existing prohibitions and sanctions made by the General Teaching Council (GTCE) before its abolition in March 2012.

You must record on your SCR if a Prohibition Order check is required, the date of the check and the name of the person who checked it. A screenshot should be taken and attached to the Online SCR record and also printed for the personnel file.

9. Barred List Check

9.1. A Children's Barred List check (formerly List 99) must be undertaken on all staff working in schools in Regulated Activity. If an Enhanced DBS check has been

made this can include a check against the Children's Barred list if requested. If a member of staff is to be allowed to start work before their DBS disclosure has been returned, **you must** carry out a separate Barred List check prior to starting work at the school. No new starter can commence employment without a Children's Barred list check.

- 9.2. It is unlawful to conduct a Barred List check for a person who is NOT engaged in Regulated Activity. This has particular implications when checking some volunteers. A volunteer must complete a Volunteer Code of Conduct to mitigate against the risk of contact with children when on site.
- 9.3. A volunteer is not in regulated activity where they are working in a school under regular, day to day supervision by someone who is in regulated activity (like a Teacher or Teaching Assistant).
- 9.4. Where this is the position:
 - the school does not need to carry out an enhanced DBS check on the volunteer (although has the discretion to choose to do so);
 - **must not** carry out a Barred List check; and
 - must complete a Volunteer Code of Conduct.
- 9.5. In line with the Governance Handbook paragraph 16 (DfE, 2020), all Trustees and Local Governors will receive an enhanced DBS check with Children's Barred list given the potential for their roles to include working in regulated activity.

10. Section 128 Direction Checks

- 10.1. A section 128 direction prohibits or restricts a person from taking part in the management of an independent school, including academies and free schools. A person who is prohibited, is unable to participate in any management position in the school as an employee; a trustee of the school; part of the governance or has been delegated any management responsibilities (including finance).
- 10.2. A check for section 128 direction must be carried out using the <https://www.gov.uk/government/collections/individuals-prohibited-from-managing-or-governing-schools>.
- 10.3. Where the person will be engaging in regulated activity, a DBS barred list check will also identify any section 128 direction. The DBS certificate will also indicate the outcome of a section 128 direction check.
- 10.4. You must record on your SCR if a section 128 direction check is required, the date of the check and the name of the person who checked it.

- 10.5. A section 128 direction check must be completed for all leaders, senior leaders and for those involved in school finance, management and governance of the school. This is also relevant for Trustees and Members.

11. Enhanced DBS check

- 11.1. Moving forwards, it will be a Trust requirement that all DBS checks must be renewed every 10 years at an enhanced level and where possible, moving to every 5 years – this will be phased in from the 2024/2025 academic year. Where possible, this requirement extends to agency/contractors who are involved in regulated activity on site and any contractual/service level agreement with new agency/contractors should include this expectation prior to proceeding.
- 11.2. Employees should be encouraged to join the DBS update service.
- 11.3. It is important to note here that if a school chooses to carry out an enhanced DBS check on a volunteer who does not qualify for a Barred List check you must ensure that when you complete the DBS application form you do not tick the box that requests the Barred List check.
- 11.4. The Trust requires an enhanced DBS check **without** a barred list check for all Trustees and Local Governors as part of the appointment process. NOTE: also section 10.
- 11.5. The Trust requires a new DBS check for those employees who are joining a Trust school for the first time, regardless of any break in service.
- 11.6. New appointments are summarised in the table below:

Person	Circumstances	Mandatory	Trust requirement
New employee	>3-month break of service	DBS + Barred List	DBS + Barred List
	Similar position <3-month break	Optional above	DBS + Barred List
New volunteer or Trustee/ /Local Governor	Contact with children and not supervised	DBS + Barred List	DBS + Barred List
	Contact with children and supervised	DBS optional no barred list	DBS no barred list
Agency and Contractor	If regulated activity	DBS + Barred List by organisation (or just DBS if not	Name, DBS confirmation (including barred list

		in regulated activity)	as appropriate), letter of assurance
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- 11.7. Record on the SCR: The DBS issue date, DBS number, date of Children’s Barred List and the date the certificate was seen, the date the DBS update service was checked, or date the confirmation was received from the relevant organisation.
- 11.8. Record the name of the person in the school who was responsible for processing the DBS form and confirming its clearance.
- 11.9. Do not keep copies of the DBS documentation once the number has been obtained. These must be appropriately destroyed in accordance with GDPR.
- 11.10. A risk assessment must be completed if an Enhanced DBS check is not clear. See **Appendix 9**.
- 11.11. When you have undertaken DBS rechecks, update your SCR with the current details. Note: there are two fields to allow recording of original and updated DBS numbers.
- 11.12. The Disclosure and Barring Service introduced a portability scheme in July 2013. This allows individuals to subscribe to the scheme by paying an annual fee (free for volunteers) that enables their next DBS disclosure to be considered portable.
- 11.13. This means that a school proposing to engage an employee or volunteer who holds a portable DBS can accept their current DBS and check online to see if there have been any changes. This is a free service. If there has been an update to the information contained on the disclosure, the school must request a new one. If there are no amendments the school can accept the current DBS certificate for the purposes of the pre-employment check and update the SCR as live.
- 11.14. For new starters who utilise the DBS update service, you must still check the original DBS certificate as part of pre-employment checks and complete the relevant sections of the SCR. You should also record that you have completed the online portability check and record the date/who completed the check.

12. Right to Work

- 12.1. For individuals who have lived or worked outside the UK, schools must carry out the same checks as for everyone else but in addition must make any further checks considered appropriate. Evidence of the check should be scanned and attached to the Online SCR record.

- 12.2. The Home Office has published guidance on **criminal record checks for overseas applicants**. The DFE has also issued **guidance on the employment of overseas-trained teachers**.
- 12.3. Employers must confirm the right of those they seek to employ to work in the UK. The evidence that was provided and date when these checks were carried out. In addition, the name of the individual who carried out the check should be recorded. There is useful guidance on the [GOV.UK website](#) or advice via Trust Central Services if there is any uncertainty.
- 12.4. You must record on your SCR what document has been seen to verify the person's right to work in the UK, the date of the check and the name of the person who checked it. Evidence of the document should be scanned and attached to the Online SCR record.

13. References

- 13.1. Two references must be obtained prior to interview for all shortlisted appointments. References should always be obtained from the candidate's current employer. The referee should be a senior leader or similar in the establishment and should have the authority to provide the reference. Where a candidate is not currently employed, verification of their most recent employment and reasons for leaving should be obtained from the school, college, Local authority (LA) or organisation at which they were employed.
- 13.2. References for Agency staff must be available to be sent to the school as part of the quality assurance process.
- 13.3. All schools should ensure that the recruitment processes are robust and thorough. It is the Trust's policy that if a teaching reference request is returned, with the candidate graded as satisfactory the offer of the post must not be confirmed until further information, including additional references, has been obtained.
- 13.4. References should be scrutinised (and their origins checked), and any concerns resolved satisfactorily, before the appointment is confirmed, including for any internal candidate. Obtaining references before interview, would allow any concerns they raise to be explored further with the referee and taken up with the candidate at interview. They should always be requested directly from the referee.
- 13.5. Employers should not rely on open references, for example in the form of 'to whom it may concern' testimonials, nor should they only rely on information provided by

the candidate as part of the application process without verifying that the information is correct. Where electronic references are received, employers should ensure they originate from a legitimate source.

- 13.6. On receipt, references should be checked to ensure that all specific questions have been answered satisfactorily. The referee should be contacted to check the validity of the reference and where necessary provide further clarification as appropriate, for example if the answers are vague or if insufficient information is provided. They should also be compared for consistency with the information provided by the candidate on their application form. Any discrepancies should be taken up with the candidate.
- 13.7. Any information about past disciplinary action or allegations should be kept on a separate secure HR folder, held by the Trust HR Manager. Individual schools will maintain a record of 'low level concerns'.
- 13.8. If it is found that the predecessor school **did not** confirm that application forms and/or references existed, either by an entry on the SCR and or a note in the employee personnel file, rigorous efforts must be made to obtain them, and notes kept in their folder. A risk assessment must be in place for staff who do not have two references. See **Appendix 11**.
- 13.9. References should be retained in the personnel file, and should be scanned and attached to the Online SCR record.

14. Annual Declarations

- 14.1. The Annual Declaration requires staff to declare (see **Appendix 2**):
 - Criminal convictions
 - That they are not disqualified from childcare (where applicable);
 - Their understanding of, and agreement to adhere to key policies (including safeguarding)
 - Business or personnel interests; and
 - Changes to personal data (as applicable).
- 14.2. The school must issue the Annual Declaration to all staff immediately prior to the start of their employment and yearly thereafter. All sections must be completed. The date of completion of the Annual Declaration must be recorded on the SCR as an Additional Check.
- 14.3. Schools must be able to evidence that all staff have completed the Annual Declaration, specifically the section regarding acceptance of safeguarding information.

15. Safer Recruitment Training

- 15.1. Safer recruitment training teaches safeguarding skills that help schools to better protect children while recruiting staff and volunteers. However, schools will continue to be required to ensure that at least one member of any recruitment panel has received appropriate training in line with safeguarding guidance. Schools should keep a register of employees who are safer recruitment trained.
- 15.2. School leaders will use their professional judgment to determine appropriate training for the needs of their staff and their school. All schools must ensure that at least one member of every interview panel has undertaken safer recruitment training, and this is evidenced in your interview notes by including the initials of the trained individual.
- 15.3. All interview questions must include two safeguarding questions appropriate to the post being recruited. One should assess the candidate's attitude towards safeguarding and one should be a 'situation and response' question. See **Appendix 12**.
- 15.4. All electronic application forms must be signed by the candidate at the interview.
- 15.5. All staff must attend a Safeguarding Refresher training session every year and a register must be taken to evidence their attendance. All staff must read the most recent update of 'Keeping Children Safe in Education' Part 1.
- 15.6. Staff must sign and date to acknowledge that they have read and understood this document. This should be recorded on the SCR. Those in leadership positions (i.e. SLT / SENDCO / Phase Leads / Year Leads/ Curriculum Leads / Safeguarding Team will sign and date to confirm that they have read the **full** document.

16. Personnel Files

- 16.1. The personnel files must be organised with dividers and be in chronological order.
- 16.2. Having completed the pre-employment checks, the personnel files **must** contain the following:
 - Two references (one of which must be from the applicant's most recent employer and be provided by their Headteacher or Line Manager) which the school considers to be satisfactory
 - Signed hard copy of the application form

- Photocopies / scans of original documents confirming any educational and professional qualifications referred to in their application form
- Evidence of Identity, in most cases this is a copy of photo ID, e.g. passport or driving licence. If alternative identity checks were required, these must be kept in the file
- Confirmation of medical fitness questionnaires / results and copies of any risk assessments completed as a result of the occupational health assessment (See **Appendix 1** - Declaration of Medical Fitness)
- Right to Work check
- If the DBS disclosure revealed a criminal record and a DBS risk assessment is required (see **Appendix 9**) a copy of the risk assessment must remain on the personnel file
- Statement of Particulars (Contract of Employment), signed by the employee
- Signed offer of appointment letter
- Prohibition print check – dated
- All interview related information for the employee - interview scoring template (including evidence of safeguarding questioning), records of observations and other tasks undertaken
- Copy of any amendment to contract letter, including hours, grade, pay, etc.
- Training records / certificates including Safer Recruitment
- Annual Declaration Forms

16.3. **It must not contain:**

- The DBS certificate. The DBS number is recorded on the SCR;
- Any documentation of proof of address such as a bank statement or electrical bill must be returned to the member of staff or destroyed.

16.4 It is very important that both the SCR and personnel files are confidential. A hard copy of the SCR should always be available in case of IT failure/breakdown (ref 4.2).

16.5 The electronic and hard copy personnel files should be stored in a secure place and have restricted access.

17. Training

17.1 Training on maintenance of the SCR will be included as part of the induction process for employees responsible for maintaining the SCR.

18. Responsibilities

18.1. The Headteacher has overall delegated responsibility for the school SCR, and the content of the employee personnel files but will delegate the process of maintaining them to the school SCR Lead. The SCR must be checked six times per academic year by the Headteacher and regularly by the school SCR Lead. OAK Trust Central Services will audit school SCRs in full at least once per year.

18.2. The Trust SCR responsibilities are summarised below:

TRUST Central SCR	School SCR
Includes: Members/Trustees/Central Team/IT Contractor/Central contractors	Includes: Teaching/Support Staff/Local Governors/Agency/Volunteers/Local Contractors
Owner: CEO delegated to Trust HR Manager	Owner: CEO delegated to Headteacher/School SCR Lead
Checks: HR Manager/Governance/DSPD	Checks: Headteacher/School SCR Lead/Central HR and DSPD
Access: HR/Governance/DSPD	Access: Headteacher/School SCR Lead
Access: Headteacher (request only)	Access: Central HR and DSPD (read only)

18.3. Staff are responsible for providing relevant documentation in a timely manner. SCR supporting documents must be made available within 2 weeks of the request. Please contact Trust Central Services where any issues arise.

19. Monitoring and Compliance

19.1. Compliance with this Policy will be monitored by the Trust HR Manager and Director of Education.

20. Review

20.1. The Policy will be reviewed every year in September or following any major legislative safeguarding updates by the Director of Education and the Trust HR Manager.

Appendix 1

Declaration of Medical Fitness

(In the absence of completion of a pre-employment health assessment).

I declare that, to the best of my knowledge, I know of no reasons, on grounds of mental or physical health, why I should not be able to discharge the responsibilities required by the role of _____ [name of post].

I understand that the Trust is legally required to verify my medical fitness for the role and that my employment with the Trust is therefore conditional upon my being medically fit to carry out the duties required by the role.

I understand that failure to disclose any relevant information now, or giving false information, may result in the termination of my employment or the withdrawal of an offer of employment.

I consent to the trust retaining this medical declaration and any other information about my medical fitness on my confidential personnel file for the duration of my employment. I further understand and agree that the Trust may confidentially retain any medical information about me for a period of six months after my employment terminates, following which it will be securely destroyed.

I hereby give my consent to OAK Trust processing the data supplied above.

Signature: _____ **Date:**

Please note: Data will be processed to be in line with the requirements and protections set out in the UK General Data Protection Regulation.

Appendix 2

Annual self-declaration form

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 are working in.

The Annual Declaration requires staff to declare:

- Criminal convictions
- That they are not disqualified from childcare (where applicable);
- Their understanding of, and agreement to adhere to key policies (including safeguarding)
- Business or personal interests; and
- Changes to personal data (as applicable).

Please complete the following form as accurately as possible. All sections must be completed.

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.

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

Name	
Role	
School	

Self-declaration

	YES/NO
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)?	
Do you have any unspent conditional cautions or convictions under the Rehabilitation of Offenders Act 1974?	
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?	
Have you committed an offence overseas which would have resulted in disqualification if it had occurred in the UK?	
For management position only: management position Are you subject to a section 128 direction?	
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? This includes, but is not limited to: <ul style="list-style-type: none"> • Orders disqualifying you from caring for children • Orders disqualifying you from private fostering • Any refusal of an application for you to be registered in relation to a children's home • Care/child protection orders issued in respect of a child in your care 	
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? This includes, but is not limited to: <ul style="list-style-type: none"> • Any offence against or involving a child • Any sexual offence 	

	YES/NO
<ul style="list-style-type: none"> Any violent offence, i.e. murder, manslaughter, kidnapping, false imprisonment, actual bodily harm (ABH), or grievous bodily harm (GBH) 	
Do the police or children's social care have your name and/or information on file for any reason?	
If you answered 'yes' to any of the questions above, please provide further information.	
Have you read and understood Part 1 of the latest statutory KCSIE (Keeping Children Safe in Education) guidance for schools published on 1st September 2024 ?	
Have you read and understood the school's latest policies, particularly; <ul style="list-style-type: none"> Safeguarding Policy Child Protection Policy Behaviour Policy Employee Code of Conduct Policy 	
Are you aware of who the school's DSL (designated school leader) is and how to report any concerns or disclosures?	

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.

Signed:

Date:

Appendix 3

Letter of Assurance for Agency Workers

Company Name:	
Name of agency worker(s):	

To ensure the effective safeguarding of the pupils at this Trust, this letter provides evidence of assurance that _____ [Company name] have in place appropriate safeguarding procedures for all safer recruitment checks carried out on their staff who visit the schools in the Trust.

I, _____ [Staff name] as _____ [Staff role] confirm that _____ [Company name] have completed the following safer recruitment checks pre-employment and during on-going employment (noted where not applicable):

- Verification of identification checks
- Right to Work in the UK checks
- Relevant qualification/registration checks
- Employment history and reference checks
- Enhanced DBS check, including Children's Barred List check
- Subsequent enhanced DBS check with Children's Barred List check every five years
- Prohibition check completed and not on the register
- Overseas checks for employees who have lived or worked abroad for 3 months or more in the last 10 years
- All staff receive appropriate safeguarding training within the last year
- All staff have read the company safeguarding policy and Keeping Children Safe in Education Part 1 and Annex A (where relevant). If no policy exists, the school policy should be utilised. NB school policy always takes precedent
- All staff have been informed that they are committing an offence if they are deployed to work with pupils but are disqualified through meeting the 'Disqualification under the Childcare Act 2006'

I also confirm that all staff attending the Trust schools during the course of their employment will be able to provide photo identification. Confirmation of pre-employment, on-going employment and safeguarding checks can be obtained via email from

-----[Email address].

Yours sincerely

Letter of Assurance for Contractors

Company Name:	
Name of contractor(s):	

To ensure that effective safeguarding of the pupils at the above school, this letter provides evidence of assurance that _____ [*Company name*] have in place appropriate safeguarding procedures for all safer recruitment checks carried out on their staff who visit the school.

I, _____ [*Staff name*] as
 _____ [*Staff role*] confirm that
 _____ [*Company name*] have completed the following safer recruitment checks pre-employment and during on-going employment (noted where not applicable):

- Verification of identification checks
- Right to Work in the UK checks
- Relevant qualification/registration checks
- Employment history and reference checks
- Subsequent enhanced DBS check with Children’s Barred List check every five years
- Overseas checks for employees who have lived or worked abroad for 3 months or more in the last 10 years
- All staff receive appropriate safeguarding training within the last year
- All staff have read the company safeguarding policy and Keeping Children Safe in Education Part 1 and Annex A (where relevant). If no policy exists, the school policy should be utilised. NB school policy always takes precedent
- All staff have been informed that they are committing an offence if they are deployed to work with pupils but are disqualified through meeting the ‘Disqualification under the Childcare Act 2006’

I also confirm that all staff attending the school during the course of their employment will be able to provide photo identification. Confirmation of pre-employment and on-going employment checks can be obtained via email from
 _____ [*Email address*].

Yours sincerely

Letter of Assurance for Sole Traders

To Whom it May Concern

LETTER OF ASSURANCE FOR SOLE TRADERS

To ensure the effective safeguarding of the pupils at the above school, this letter provides evidence of assurance that I _____ [name of Sole Trader] have provided the following documents to the school:

- Identification document
- Right to Work in the UK document
- Relevant qualification document (if applicable)
- Enhanced DBS check, including Children’s Barred List check
- Evidence of appropriate safeguarding training within the last year

I also confirm the following:

- I have read the school Safeguarding Policy and Keeping Children Safe in Education Part 1 document which have been provided to me
- I am aware that I would be committing an offence if I was deployed to work with pupils but are disqualified through meeting the ‘Disqualification under the Childcare Act 2006’

I understand that where applicable, the school will conduct a prohibition from teaching check for me, and will obtain two references for me. I have provided contact details of two referees below:

References	
Please give the details of two referees who can comment on your suitability (e.g., employers, other customers, etc).	
Name:	Name:
Relationship to you:	Relationship to you:
Address:	Address:

Telephone number:	Telephone number:
Email address:	Email address:

Yours sincerely

Name of Sole Trader

Appendix 4

Risk Assessment

Missing Checks for third-party professionals

This risk assessment form is only to be used for visitors in the school where some vetting checks are not yet available e.g. Local authority health professionals. A copy of this risk assessment should be retained in the personnel file and added to the SCR.

Name: _____ Previous name (if any): _____

Job Title: _____ Organisation: _____

- Proof of Address available
- Provided Valid Photo ID
- Provided Valid Company ID
- Has provided a Company Letter of Assurance
Details

- Regulated Activity required. Will the person be a regular visitor?
- Enhanced DBS Check
- Enhanced DBS with Children's Barred List Check
- Supervisory measures in place
Details

- If applicable - Are you satisfied the risk of possible offending can be minimised by ensuring that satisfactory supervisory measures listed above can be implemented to prevent the individual from being alone with pupils?
- Student voice will be considered after appointment
- I have considered the questions outlined above and **I am NOT satisfied** that it is safe to allow the above named individual to work with children
- I have considered the questions outlined above and **I am satisfied** that it is safe to allow the above named individual to work with children

Signed: (Headteacher) _____ Date: _____

Appendix 5

Visitor Protocol Guidance

All visitors to the school will be asked to bring formal photographic identification with them at the time of their visit. They must follow the procedure below:

- Once on site, all visitors must report to reception first. No visitor is permitted to enter the school via any other entrance under any circumstances.
- At reception, all visitors must state the purpose of their visit and who has invited them. They should be ready to produce formal photographic identification upon request.
- Attention should be raised to the safeguarding procedures at the school and a safeguarding leaflet issued. By signing in, the visitor confirms acceptance of the procedures.
- All visitors will be asked to sign the electronic signing in system or school equivalent. Required information will include their name, organisation, who they are visiting and vehicle registration. A photograph will also be taken if using the electronic signing in system.
- All visitors (who are not on the approved visitor list) will be required to wear an identification badge and a yellow and black Trust lanyard. Both the badge and lanyard must remain visible throughout their visit. This may include volunteers who are not on the SCR i.e. irregular attendance to the school.
- Visitors must be escorted from reception by their point of contact. The contact will then be solely responsible for them while they are on site. The visitor must not be allowed to move about the site unaccompanied unless they are registered on the Approved Visitor List (see below).

Approved Visitor List

The school will hold an approved visitor list for visitors who frequently visit the school site to undertake work within the school (including contractors, supply staff and Governors). To qualify for this list the visitor must have demonstrated, prior to the visit that:

- I. They have a current clear enhanced DBS check and a copy of this has been registered on the school's (or Trust) SCR **AND**
- II. A current clear DBS children's barred list check has been undertaken **AND**
- III. **A letter of assurance from the relevant organisation that confirms all other appropriate checks have been completed (see Appendix 3/4)**
- IV. **Other requirements:**

- Visitors on the approved List **MUST** follow the same procedures on entry to the premises (i.e. come to reception and sign in via the e-signing system and then escorted from reception by their point of contact to a base point). Once on site, approved visitors are allowed unescorted access throughout the school.
- Approved visitors will be required to wear an identification badge and an orange Trust visitor lanyard that represents their visitor status. Governors may wear an additional black lanyard. This indicates that, whilst they have all appropriate checks to be unaccompanied on site, they are not a school member of staff and therefore may require additional support in relation to specific pupil concerns or fire alarms/lockdowns etc. Both the badge and lanyard must remain visible throughout their visit.
- A copy of the approved visitor list will be kept behind reception (or on the electronic signing in system) at all times so that office staff who are not privy to the school SCR are able to sign in as appropriate. This must be kept up to date.

Ofsted inspectors are the only exemption from normal visitor checks/protocols as long as the school has the name of the inspector beforehand and is expecting them. The links for all the registered inspectors is below.

Inspectors should have their ID badge containing their photograph, name and ID number (schools should not take a copy of the ID badge). This will confirm that they have the necessary checks to be engaged in regulated activity. They are not required to bring their DBS certificate. Inspectors should wear their ID badge at all times alongside a plain orange lanyard. All other visitor guidance remains relevant.

In the case of a 'no-notice inspection', schools can call the regional office to check the ID of the person.

*<https://www.gov.uk/government/publications/ofsted-inspectors-list>
<https://www.gov.uk/government/publications/ofsted-pen-portraits-of-her-majestys-inspectors-hmis/ofsted-hmi-pen-portraits>*

Visitors Departure from School

On departing the school, all visitors MUST leave via reception and:

- Sign out in the same manner as signing in.
- Return the identification badge and lanyard to reception.
- A member of staff must escort those visitors with yellow and black lanyards back to reception.

Unknown/Uninvited Visitors to the School

Any visitor to the school site who is not wearing an identity badge or who has a yellow and black lanyard and is unaccompanied should be challenged politely to enquire who they are and their business on the school site.

They should then be escorted to reception to sign in and be issued with an identity badge or to be collected by their point of contact. The Headteacher must be informed to review the incident.

The procedures under "Visitors Protocol" above will then apply. In the event that the visitor refuses to comply, they should be asked to leave the site immediately and a member of the SLT informed.

The SLT member will consider the situation and decide if it is necessary to inform the police.

If an unknown/uninvited visitor becomes abusive or aggressive, they will be asked to leave the site immediately and warned that if they fail to leave the school grounds, police assistance will be called for.

Trustees, Members, Governors and Volunteers

All Trustees, Members, Governors and volunteers must comply with safeguarding procedures and sign in as an approved visitor. Trust Central Services will obtain the DBS and relevant checks for the Trustees and Members.

New volunteers will be asked to comply with this policy by the point of contact when coming into the school for an activity or class supporting role.

Appendix 6

Volunteer Application Form

Please complete the application form in full.

Data protection notice

Throughout this form, we ask for some personal data about you. We will only use this data in line with data protection legislation and process your data for one or more of the following reasons permitted in law:

- You have given us your consent
- We must process it to comply with our legal obligations

You will find more information on how we use your personal data in the Trust's Data Protection Policy which can be found on the Oak Trust website.

Personal details

Name:	
Date of birth:	
Gender:	
Telephone number:	
Email address:	
Home address:	

Disclosure and Barring Service (DBS) information

Do you have a DBS check?	
---------------------------------	--

If yes, what type of check do you have? (Please circle)	Enhanced DBS / Enhanced DBS with barred list information
Date of check:	
Certificate number:	
Are you registered with the DBS Update Service?	

Availability					
	Monday	Tuesday	Wednesday	Thursday	Friday
AM					
PM					
Before school					
After school					
Lunchtimes					
How many hours per week/month can you volunteer?					
Can you commit to at least 1 term?					

Experience and qualifications
Do you have experience working as a volunteer, especially with children? If yes, please include details in the box below.

Why would you like to volunteer at this school?

Do you have any particular skills, employment experience you would like to share with the school? (For example, languages spoken, sports, etc)

Please list any relevant qualifications

References

Your placement as a volunteer is subject to satisfactory references. Please give the details of two referees who can comment on your suitability (e.g., employers, other voluntary roles, etc).

Name:	Name:
Relationship to you:	Relationship to you:
Address:	Address:
Telephone number:	Telephone number:
Email address:	Email address:

Disability and accessibility

The Trust is committed to ensuring that applicants with disabilities or impairments receive equal opportunities and treatment. If you have a disability or impairment, and would like us to make adjustments or arrangements to assist you, please state the arrangements you require:

Appendix 7

Risk Assessment of Volunteers in School

This risk assessment should be completed for all volunteers.

Name of volunteer

Nature of volunteering work
<p>Please describe the planned supervision arrangements for the volunteer <i>(Please note it is recommended that family members do not supervise other family members and that friends do not supervise friends)</i></p>
<p>Is the volunteer expected to undertake any regulated activity Y / N? If Yes then DBS must be sought.</p>
<p>Principle Supervisee will be (Ensure they are aware of their duties and the expectations of this duty)</p>

Considerations

Age(s) of pupils to be supported	
Additional needs and vulnerabilities of pupils to be supported	
Frequency volunteer will be on site	
Does the volunteer undertake any other un/paid work with children	
Have any references been sought?	
Has the identity of the volunteer been verified?	
Is the volunteer signed up to the DBS update service?	
Is the volunteer aware of any reason why they should not work with children?	

Volunteers who, on an unsupervised basis teach or look after children **regularly** or provide personal care on a one-off basis in schools and colleges, will be in regulated activity. Any volunteering activity requiring overnight stays and support should be considered as regulated activity.

The school or college should obtain an enhanced DBS certificate (which should include barred list information) for all volunteers **who are new to working in regulated activity**. **Existing volunteers in regulated activity do not have to be re-checked** if they have already had a DBS check (which includes barred list information). However, schools and colleges

may conduct a repeat DBS check (which should include barred list information) on any such volunteer should they have concerns.

Having considered the above information it has been determined that the volunteer named in this document requires the following level of DBS check.

Level of check to be applied for:

Additional notes
(Please add any additional notes you feel are necessary here)

The volunteer is aware of the reasons why we have reached the decision to request a DBS check and the level of check, they are also aware that under certain circumstances we may be required to complete rechecks or change the level of DBS check if activities change.

The volunteer will have a safeguarding induction before they commence their activities, a record of this will be made and held **insert information here**

Signature of person completing assessment:

Date:

This assessment will be reviewed (insert date):

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

Data will be processed to be in line with the requirements and protections set out in the General Data Protection Regulation.

Volunteers Agreement

Thank you for offering your services as a volunteer at OAK Multi-Academy Trust. Your offer of help is greatly appreciated, and we hope that you will both gain from and enjoy your experience here.

Name of volunteer:

Name of Supervisor:

Date voluntary work will commence:

Date voluntary work will end: -----

Outline of main tasks/activities that the volunteer will be involved in:

—

Please read and sign both copies of this volunteer agreement, return one to your supervisor and retain one for your records.

Declaration

I have read a copy of the Volunteer Code of Conduct and agree to always adhere to this. I agree to abide by the school's policies and procedures. I agree to work only as directed by school staff.

Signed: -----

Print Name: -----

Signed: ----- (member of school staff)

Position: -----

Date: -----

Code of Conduct for Volunteers

By signing this form, volunteers agree to the following:

Trust rules and policies

Volunteers will follow all school / Trust rules and policies, including those on:

- Child protection
- ICT and internet acceptable use
- Online safety
- Mobile phones
- Data protection
- Health and safety
- Equality
- Whistleblowing

- Behaviour

Copies of the school / Trust policies are available on the school / Trust website or from the school office.

1. Professional conduct

- 1.1. Volunteers must accept and follow instructions provided by supervisors and ask for guidance or clarification if required. Questions can be directed to the supervising member of staff, or to the school's volunteer coordinator, if applicable.
- 1.2. Behaviour management is the responsibility of school staff. If volunteers witness behaviour that is in breach of the school's behaviour policy or are struggling to manage the behaviour of pupils with whom they are working, they should alert the class teacher immediately. Volunteers should not attempt to reprimand pupils or issue sanctions.
- 1.3. Volunteers must conduct themselves in a professional manner at all times. This includes:
 - 1.3.1. Dressing in a way that is professional and appropriate to the work undertaken
 - 1.3.2. Refraining from using inappropriate language
 - 1.3.3. Setting an example for pupils by acting in a way that reflects the school's / Trust's ethos and values
 - 1.3.4. Behaving in a way that is appropriate for the role they are undertaking
 - 1.3.5. Ensuring that comments, including those made on social media, do not bring the school into disrepute.
- 1.4. Any receipt of gifts must be in accordance with the Trust's Finance Policy.
- 1.5. Volunteers must not transport pupils in their own cars unless specific arrangements have been made with the school, and the pupil's parents have consented.
- 1.6. Parent volunteers with children at the school must not act in a way that favours their own child and should not approach their child unnecessarily during the school day (for instance, during break times). They may not use their time as a volunteer to discuss their child's education with staff.
- 1.7. If a volunteer is unable to come to school when they are expected/scheduled to be in, they must contact their supervisor or the school office as soon as possible. Inconsistent attendance may result in the placement being reviewed or terminated.

2. Safeguarding

- 2.1. Volunteers must be familiar with, and adhere to, the school's / Trust's safeguarding and child protection policy. Safeguarding training will be provided to all volunteers before they begin their placement.

- 2.2. If volunteers have concerns about the welfare of a child, or if a child makes a disclosure, they should speak directly to the Designated Safeguarding Lead (DSL). Please contact the individual school to obtain this information.
- 2.3. Volunteers should refrain from physical contact with pupils and should use their judgement to determine when physical contact is appropriate. If physical contact with pupils is required, volunteers should ask for a pupil's consent before touching them.
- 2.4. Volunteers must not form personal relationships with pupils, either inside or outside of school, with whom they do not already have a personal relationship. This includes:
 - 2.4.1. Exchanging contact information
 - 2.4.2. Making contact with pupils outside of school, including on social media
 - 2.4.3. Arranging to meet pupils outside of school
 - 2.4.4. Alerting the DSL if a pupil develops an infatuation with them
- 2.5. Volunteers should not take or share photos of pupils unless instructed to do so by their supervisor.

3. Health and safety

- 3.1. Volunteers must abide by the school's health and safety and first aid policies. Volunteers are not to administer first aid, except in an emergency where none of the designated first aiders are available.
- 3.2. Volunteers must be familiar with the school's fire safety and emergency evacuation procedures.
- 3.3. Volunteers must sign in and sign out at the beginning and end of every visit and must wear a visitor badge at all times.

4. Confidentiality

- 4.1. Information about pupils, parents and staff at the school is confidential, and should not be shared with anyone else. Volunteers should not discuss pupils with parents or other children. If parents approach volunteers for information, they should be directed to speak to a class teacher or the Headteacher.

Failure to adhere to this code of conduct may result in the termination of the placement with immediate effect.

Please sign and date below:

 Volunteer name (please print)

 Volunteer signature

Date

Appendix 8

Single Central Record (SCR) Check Template

School:

Check completed by:

Name:

Date:

CHECK	✓
100% of staff from the current staff list are recorded on SCR? (Including all new starters)	
All agency/governors/volunteers/contractors that access site are recorded on SCR?	

Are any agency/contractors/volunteers no longer accessing the site removed?	
Name of employees checked (record as 'ALL' if general check):	
No gaps/areas to follow up: ID/Address/DOB/Photo ID	
No gaps/areas to follow up: Role	
No gaps/areas to follow up: Qualifications	
No gaps/areas to follow up: Barred List	
No gaps/areas to follow up: DBS and EDBS	
No gaps/areas to follow up: Disqualification from childcare	
No gaps/areas to follow up: EEA/Certificate of good conduct (overseas check)	
No gaps/areas to follow up: S128	
No gaps/areas to follow up: Prohibition from teaching	
No gaps/areas to follow up: Right to work in the UK	
No gaps/areas to follow up: Annual declaration/KCSIE (including DFC)	
No gaps/areas to follow up: Safeguarding induction/safeguarding update	
No gaps/areas to follow up: Medical	
No gaps/areas to follow up: References	
No gaps/areas to follow up: Agency/contractor safeguarding	
No gaps/areas to follow up: Employment history	
No gaps/areas to follow up: Online checks	
Any DBS issued more than 10 years ago:	
Personnel File check x 4 (including new starter) - complete and accurate (record names) 1. 2. 3. 4.	

Recommendations:

Appendix 9

Risk Assessment for a DBS Certificate Disclosure

Risk Assessment - DBS Certificate Disclosures
To be completed by the Trust Safeguarding Lead / Trust HR Manager if the DBS Certificate has criminal record disclosures

Name on DBS Certificate:

Certificate No:

Post:

Date of issue:

Service/School:

	Yes	No	Comments/Actions/Explanation
Was the applicant a juvenile at the time of any offence(s)?			
Does the disclosure show a pattern of offending?			
Does the disclosure show recent offences or a recent change in behaviour? How long ago was that?			
Do any offences have any relevance to the job role?			
Does the nature of the job present any opportunities for the post holder to reoffend in the place of work?			
Has the applicant disclosed their offences?			
What was the outcome of the discussion with the applicant about their criminal background?			
Will the post holder be supervised?			

Did the previous employer employ on the same basis and can vouch for perfect behaviour and conduct?			
---	--	--	--

Outcome of Assessment:

I am satisfied that based on the above, the criminal background of this person should not prevent them taking up the position	
I am not satisfied that based on the above, the criminal background of this person makes them suitable to take up the position	

Name:

Signature:

Date:

Appendix 10

KEEPING CHILDREN SAFE IN EDUCATION: CHILDCARE DISQUALIFICATION REQUIREMENTS

This form is to be completed by new staff as part of pre-employment checks if the work they undertake fit into the relevant criteria below:

1. Staff working in education and any supervised activity with children up to the 1st September following their 5th birthday.
2. Staff working outside school hours with children up to the age of 8 e.g. breakfast clubs and after school childcare clubs (but not including school sports and activity clubs e.g. football, chess etc.)
3. Managers e.g. Headteacher, Early Years Manager etc.

A yes answer to any of the questions would mean that you are disqualified. An application to waive this should be made to Ofsted within 2 weeks of the school becoming aware of this information.

Name:	Post / Job Title:	
Questions relating to you as a member of staff	Please delete as appropriate	
Have you ever been cautioned or convicted of any offences against a child?	Yes	No
Have you ever been cautioned or convicted of any violent or sexual offences against an adult?	Yes	No
Have you ever been barred from working with children by the Disclosure and Barring Service?	Yes	No
Have your children ever been taken into care?	Yes	No
Have they ever or are your children currently the subject of a child protection order?	Yes	No
Has a court order ever been made against you in respect of a child under your care?	Yes	No
Have you ever been refused registration or had registration cancelled in relation to childcare or a children's home or have you ever been disqualified from private fostering?	Yes	No

If you have indicated yes to any of the above you must provide further information in the space provided below: *(please continue on a separate sheet if necessary)*

Two empty horizontal bars for text input.

DECLARATION

I confirm the information I have declared above is correct and I understand that I have a duty to inform the Headteacher, or the appropriate member of the Senior Leadership Team should any of this information change at any time during my employment with the establishment.

Name (in capitals):
Signed:
Date:

The following action has been determined, as a result of the answers on this declaration:
(please continue on a separate sheet if necessary)

Multiple empty horizontal bars for text input.

HEADTEACHER / SLT SIGNATURE

Name (in capitals):
Signed:
Date:

Appendix 11

Risk Assessment

Missing references for historical appointments

This risk assessment form is only to be used for existing staff employed in the school where evidence of references is not available. A copy of this risk assessment should be retained in the personnel file.

The risk assessment has been carried out considering length of service, disciplinary record and conduct, to decide whether references should be sought at this point.

Name: _____ Previous name (if any): _____

Date of birth: _____ Employed since: _____

Number of references: 0 1

Date of last Disqualification by Association self-disclosure (if relevant): _____

Part-time: Full time:

If part-time, does the person have other employment: Yes: No:

- No disciplinary issues
- No safeguarding allegations/ concerns raised
- No gaps in previous employment identified
- No complaints or concerns raised about this person's work with children

Outcome/Notes from above: _____

Risk Assessment (see Risk Matrix) Low: <input type="checkbox"/> Moderate: <input type="checkbox"/> High: <input type="checkbox"/>
--

Actions taken:

Review any previous concerns Date:

Ensure copies of ID checks are on file Date:

Request a new Enhanced DBS Check Date:

Request a new Barred List Check Date:

Other: _____

Once signed below, our risk assessment concludes that there is no benefit to be gained from taking up references at this late point. The school is satisfied that

sufficient actions have been taken to ensure compliance and the safeguarding of students.

Signed: (Headteacher): _____

Date: _____

Risk Assessment Matrix

	Least Risk	Moderate Risk	Highest Risk
No. of References	Two References	One Reference	No Reference
Employment	Full-time	-	Part-time
Date of Enhanced DBS	Within the last three years	Within the last five years	More than five years ago
Date of Barred List Check	Within the last three years	Within the last five years	More than five years ago
Date of Disclosure by Association (if relevant)	Within the last year	Within the last three years	More than three years ago
Changes of Name	None	One	More than one

Appendix 12

Example Safeguarding Questions

The ability to ask questions that probe deeper and get beneath superficial answers is a skill that takes time to develop and practice. Those who wish to deceive are practiced in the art of deception. They may rehearse model answers to questions about safeguarding or areas of their past and it is essential that the questions asked unpick these responses so that there can be confidence in the validity of the answers.

In an interview for a school-based post you should always ask questions about safeguarding, regardless of the role's level of contact with children. All school staff and volunteers will have a responsibility for child protection.

You need only ask one main safeguarding question aimed at assessing the candidate's attitude toward safeguarding children. This should be the same main question for all candidates and should be **open** to gather as much information as possible. You should then **probe** the candidate's response to investigate the validity of the answer – clarifying any ambiguities, expanding upon any issues, or challenging any areas – your probes are likely to be different for each candidate depending on their responses. **Closed** questions should be used sparingly but can be useful if you just want to clarify or confirm something the candidate is saying. **Hypothetical** questions can be useful if the candidate cannot draw on their real-life experience, but they are likely to elicit a hypothetical answer, which is not necessarily what the candidate would do in that actual situation. Past behaviour is often the best indicator of future performance!

Be aware that child protection cases should be handled confidentially and sensitively. You do not need to ask the candidate for the exact details of a case you might be talking about – you are trying to assess their attitude, motivations and actions, so you can ask about what they did in that situation and how they handled it.

Below are examples of questions designed to examine a candidate's attitude toward safeguarding children, and some positive (the kind of things you hope they would say) and negative (things that might ring alarm bells) indicators. (Questions are taken from the NCSL public version of the online training). A possible scoring framework might be:

1 Positive. Constructive. Convincing responses with good ideas on how to apply the theory.

2 Responded well. Good knowledge of the theory with some application into practice.

3 Lack of detailed understanding. Unconvincing responses.

4 Unable to respond constructively. Negative responses.

Question

Positive Indicators

Negative Indicators

Motivation for working with children

- What attracted you to teaching/this post/this school?
- How do you think your own childhood may have influenced your own practice? **Possible follow ups:** How? Why? What is the impact/result?
- Tell us about your interests outside of work.
- What motivates young people?

Genuine interest in the education and welfare of children.
 Understanding of children’s needs and expectations.
 Self-awareness of impact on others.
 Strong examples of own experiences dealing with children in an appropriate and developmental manner.

Wanting role to meet own needs at the expense of children’s needs.
 Inappropriate language when talking about children.
 Weak or vague examples of past experiences.
 No self-awareness.
 Emotional immaturity.

Understanding of child protection principles

- What do you think are the professional challenges facing school staff today? **Possible follow ups:** Have you experienced any of these? How did you deal with them? What do you do to avoid them?
- What would you do if you were concerned about a colleague’s behaviour towards children?

Awareness of child protection principles.
 Up to date knowledge of legislation and current policies and practices.

No awareness or appreciation of child protection principles or current legislation.
 Weak or vague examples of past experiences or involvement in child protection issues.

<ul style="list-style-type: none"> ▪ What makes a school a safe and caring place? Possible follow ups: How have you contributed to this? ▪ What policies are important to support a safe environment? Possible follow ups: Why are these important? ▪ What are staff's responsibilities in protecting children? ▪ Tell us what you have done in the last 12 months to actually improve child protection in the workplace? ▪ What would you do if a child spoke to you at the end of the day and said that their parent had started hitting them? 	<p>Strong examples of own experiences of developing/ strengthening/ embedding child protection policies and/or practices.</p> <p>Proactive and committed to safeguarding – sees it as part of the day job, not an 'add on'.</p> <p>Prepared to challenge working practices and colleagues if necessary.</p> <p>Willingness and eagerness to work with others to improve safeguarding.</p>	<p>Passive approach to safeguarding – only paying 'lip service' to it.</p> <p>Unwilling to challenge practice and procedure, or to make changes where necessary.</p> <p>Reluctance to work and share practice with others.</p>
Boundaries and inappropriate behaviour		
<ul style="list-style-type: none"> ▪ Give an example of where you have had to deal with bullying behaviour between pupils. Possible follow ups: What was the result? Who did you involve? What was the impact on other children? How did you know? ▪ Give an example of how you have managed poor pupil behaviour. ▪ Young people can develop 'crushes. How would you deal with this? Possible follow ups: Have you had experience of this? How would/ do you avoid this? ▪ Give an example of how you have responded to challenging behaviour. Possible follow ups: How did it affect you emotionally? Why did you respond in this way? What 	<p>Self-awareness of impact on others.</p> <p>Awareness of appropriate boundaries and behaviour.</p> <p>Appreciation of the differences in levels of appropriateness when dealing with adults and children.</p> <p>Appreciation of the challenges involved with working with children.</p> <p>Strong examples of own experiences dealing with difficult</p>	<p>Unclear about boundaries with children.</p> <p>Using inappropriate language when talking about children – e.g.</p> <p>Weak examples of past experience dealing with difficult or vulnerable situations.</p> <p>No appreciation of the importance of boundaries and children's needs.</p> <p>Lack of self-awareness or self-management techniques when</p>

<p>impact did it have on their learning and interaction with other children/ you?</p> <ul style="list-style-type: none"> ▪ When do you think it is appropriate to physically intervene in a situation involving young people? ▪ How do you define an appropriate staff – pupil relationship? ▪ Give examples of what you would consider to be appropriate and inappropriate behaviour between or toward staff and pupils. ▪ Tell us about how you have dealt with a child with 'difficulties. 	<p>or vulnerable situations in an appropriate manner.</p> <p>Self-management when dealing with difficult or emotional situations.</p>	<p>dealing with difficult or vulnerable situations.</p>
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