

Single Central Record (SCR), personnel files and Safer Recruitment Policy

Document provenance

This policy was approved as follows –

Executive Leadership Team (ELT)

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Frequency of review: two years

Next review date: October 2018

ELT Owner: Director of Education

Author: System Leader – Safeguarding (North)

Summary of changes at last review:

- Updated in line with statutory changes
- National team responsibilities clarified at 19.2
- Training requirements added 18.1
- Compliance monitoring added at 20.1

Related documents:

- Recruitment and Selection Policy

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.

Single Central Record, personnel files and Safer Recruitment Policy

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.

2. Scope

- 2.1. This policy applies to all staff involved in recruitment processes, especially to headteachers, HR leads and the national governance team who have responsibility and oversight of the maintenance of the SCRs.

3. Legislation and regulation

- 3.1. The legislative requirement for maintaining a SCR is detailed in the original publication “Safeguarding Children and Safer Recruitment in Education (2007)” and more recently updated in the DfE’s Sept 2018 statutory guidance for schools and colleges titled *Keeping Children Safe in Education (KCSIE)*

4. Format of the SCR

- 4.1. All Academies must use the E-ACT format for the SCR and **not** add or delete headings. They must also comply with the arrangements detailed in this Policy.
- 4.2. The SCR must be maintained electronically, accessed only by a secure password and backed up every week. A hard copy of the SCR should always be available.
- 4.3. There must a member of staff on site that can access the SCR. It must be accessible to the headteacher and the System Leader if required.

5. Who should appear in the SCR?

- 5.1. Paragraph 143 of “Keeping Children Safe in Education” states that the SCR must cover the following people:

- all staff (including supply staff, and teacher trainees on salaried routes) who work at the school: in colleges, this means those providing education to children 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.

- 5.2. The SCR must therefore include:

- All staff who are employed directly by your Academy
- All long-term supply/agency staff and daily supply.
- Any volunteer who works regularly with children
- All who are engaged in “Regulated Activity”
- 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 Academy on a ‘regular’ basis must be on the SCR.

- 5.3. 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 4 details the visitor protocol

guidance

5.4. 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 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 personnel care or health care provided by or provided under the supervision of a health care professional. [Personnel 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.]

5.5. Work under (a) or (b) is regulated activity only if done regularly

5.6. Work under (c) is always regulated activities, regardless of their frequency or whether they are supervised or not

5.7. Volunteers who carry out unsupervised teaching or look after children regularly, or who provide personnel care on a one-off basis in Academies and college will be in regulated activity. They must be added to the SCR.

5.8. Agency staff must be included in your SCR.

5.9. Academies must obtain written notification 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 Academy must also check that the person presenting themselves for work is the same person on whom the check has been made.

5.10. The details from the agency must be recorded on the SCR and the date you received the information. The confirmation must be filed. The agency must be contacted if they have not provided the information required.

5.11. The CEO, David Moran, will provide a Letter of Reassurance (see Appendix 3) for E-ACT staff who regularly visit Academies as additional evidence that all staff have undergone required pre-employment checks. The Letter of Reassurance provides the required evidence that anyone asked to visit your Academy on behalf of E-ACT has been fully DBS cleared to an enhanced level of clearance. The copies of these letters must be kept with your Scr.

5.12. The E-ACT staff in your region eg Regional Education Director, Regional Operations Director etc who are in your Academy on a regular basis must be on your SCR. The details can be obtained from the National team.

5.13. You do not need to include on your SCR visitors to the Academy, work experience students or occasional volunteers.

5.14. Trainee/student teachers that receive a salary must have the necessary checks carried out by the Academy. Where trainee teachers are fee funded it is the responsibility of the initial teacher training provider to carry out the necessary checks. Academies 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.

- 5.15. There is no requirement for the Academy to record detail of fee-funded trainees on the SCR (e.g. teaching assistants)
- 5.16. Some visitors are required to be on the SCR, for example regular E-ACT staff, local businesses, adults that listen to children read etc.
- 5.17. E-ACT staff must present their badges when visiting the Academies which contains their DBS number. It is not required to request further identification or issue another green lanyard. The E-ACT member of staff should wear their own green lanyard around the academy.
- 5.18. The SCR should reflect your current workforce. When someone leaves the Academy, you should remove the record from the SCR by either deleting or archiving the record.

6. What information should be recorded on the SCR

- 6.1. The SCR is an integral part of the Academy's recruitment and selection policy, recording and referencing 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;
 - a barred list check;
 - an enhanced DBS check/certificate;
 - a prohibition from teaching check;
 - further checks on people living or working outside the UK (includes EEA check);
 - a check of professional qualifications; and
 - a check to establish the person's right to work in the UK;
 - a section 128 direction check
- 6.2. 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
- 6.3. The E-ACT excel format for the SCR complies with the Statutory regulations and best practice to support Academies in delivering the principles of Safer Recruitment.
- 6.4. You must never leave an empty field. If not applicable insert N/A in the cell.
- 6.5. 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 may want to add a note on the SCR that indicates that a risk assessment is on file.

7. Identity Checks

- 7.1. 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 license.
- 7.2. 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](#)
- 7.3. They must be able to show:

- one document from Group 2a
- Two further documents from either Group 2a or 2b

7.4. At least one of the documents must show the applicant's current address. The Academy conducting their ID check must then also use an appropriate external ID validation service to check the application.

7.5. **You must see originals.** Photocopies must never be accepted.

7.6. Record on the SCR the evidence you have seen, eg passport, driving licence etc, plus the date it was checked and the name of the person who checked it.

7.7. Take a copy of the documents, sign and date that the original has been seen and hold the copy in the personnel file

8. Qualifications and Registration

8.1. 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.

8.2. If the person needs to be registered with any other professional body to do the job, such as a health care professional or Social Worker, you also need to record that you have carried out the relevant checks.

8.3. 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.

8.4. Copy the documents, sign and date that the original has been seen and hold the copy in the personnel file.

8.5. If the person has an overseas qualification and you are unsure of its comparability to a UK qualification you can check this with your HR provider or direct with various websites such as [NARIC](#)

9. Prohibition Check

9.1. Since the 03 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.

9.2. This is **not** the same as a Barred List check (obtained via the DBS). The prohibition check can be made via the **Teachers Services' System**. 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.

9.3. Through the **Teachers Services' System**, 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

- Section 128 Direction check
- Barred list check

- 9.4. In the absence of the QTS number you can check on the website, [Teachers Services' System](#): whilst you cannot enter the number to do a personnel check if you 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.
- 9.5. The Society for Education and training website will accept the QTLS number and will confirm that the teacher remains in good standing as a registered member, completing annual CPD and complying with the Code of Professional Practice.
- 9.6. This service will also identify any existing prohibitions and sanctions made by the General Teaching Council (GTCE) before its abolition in March 2012.
- 9.7. 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.

10. Barred list check

- 10.1.A Children's Barred List check (formerly List 99) must be undertaken on all staff working in schools in Regulated Activity. If an Enhanced Criminal Record check has been made this will normally include a check against the Children's Barred list. 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.
- 10.2.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 and Ambassadors.
- 10.3.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).
- 10.4.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), and;
 - must **not** carry out a Barred List check

11. Section 128 Direction Checks

- 11.1.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 Academy as an employee; a trustee of the Academy; part of the governance or has been delegated any management responsibilities.
- 11.2.A check for Section 128 direction must be carried out using the [Teachers Services' System](#).
- 11.3.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.
- 11.4.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.

11.5.A section 128 direction check must be completed for all leaders, senior leaders and governance in the academy

12. Enhanced DBS check

12.1.It is an E-ACT requirement that all DBS checks must be renewed every three years at an enhanced level.

12.2. Employees should be encouraged to join the DBS updating service [see below] and Academies are at liberty to find effective ways of reimbursing the cost to those staff members who do this.

12.3.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.

12.4.E-ACT requires an enhanced DBS check **without** a barred list check for all trustees and Academy Ambassadors as part of the appointment process.

12.5.An enhanced DBS with barred list check is required for all staff appointed to work in a school since May 2006. Staff who worked in the school before March 2002, and have not had a significant change in role, do not need an enhanced DBS with barred list check unless they have had a break in service of 3 months or more.

12.6.E-ACT requires a new DBS check for those employees who are joining an E-ACT Academy for the first time regardless of any break in service.

New appointments are summarised in the table below

Person	Circumstances	Mandatory	E-ACT requirement
New staff	>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	Contact with children + not supervised	DBS + Barred List	DBS + Barred List
	Contact with children + supervised	DBS optional no barred list	DBS no barred list for governors, optional for volunteers
Agency and Contractor	Same principles as above but should see written notification of all the SCR checks		References from the Agency must be sent to the Academy and filed with the written notification of checks.

12.7.Record the DBS Number on the SCR.

12.8.Record the name of the person in the Academy who was responsible for processing the DBS form and confirming its clearance.

12.9.Do not keep copies of the DBS applications/supporting documentation once the number has been obtained. These must be appropriately destroyed in accordance with the Data Protection principles.

12.10. A risk assessment must be completed if an Enhanced DBS check is not clear.

12.11. When you have undertaken DBS rechecks, update your SCR with the current details.

12.12. 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.

12.13. This means that an Academy proposing to engage an employee or volunteer who holds a portable DBS can accept their current DBS and check on-line 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 Academy must request a new one. If there are no amendments the Academy can accept the current DBS certificate for the purposes of the pre-employment check.

12.14. For prospective employees presenting with a portable DBS disclosure, you must still complete the relevant sections of the SCR. You should also record that you have completed the on-line portability check and record the date.

13. Right to Work

13.1. 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.

13.2. These further checks should include a check for information about any teacher sanction or restriction that an EEA professional regulating authority has imposed, using the [Teacher Services' System](#). Although restrictions imposed by another EEA regulating authority do not prevent a person from taking up teaching positions in England, Academies should consider the circumstances that led to the restriction or sanction being imposed when considering their suitability for employment.

13.3. 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](#). This provides information on the requirements for overseas trained teachers from the European Economic Area to teach in England and the award of QTS for teachers qualified in Australia, Canada, New Zealand and USA.

13.4. 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](#) if there is any uncertainty.

13.5. 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.

14. References

14.1. Two references must be obtained prior to interview for all shortlisted appointments. References should always be obtained from the candidate's current employer. Where a candidate is not currently employed, verification of their most recent employment and reasons for leaving should be obtained from the school, college, LEA or organisation at which they are employed.

14.2. References for Agency staff must be sent to the Academy as part of the due diligence process.

14.3. All Academies should ensure that the recruitment processes are robust and thorough. It is E-ACT'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.

14.4. References should be scrutinised, 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 and preferably from a senior person with appropriate authority, not just a colleague.

14.5. 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.

14.6. On receipt, references should be checked to ensure that all specific questions have been answered satisfactorily. The referee should be contacted to provide further clarification as appropriate, for example if the answers are vague or if insufficient information is provided. They should also be compared for consistency with the information provided by the candidate on their application form. Any discrepancies should be taken up with the candidate.

14.7. Any information about past disciplinary action or allegations should be kept on a separate secure HR folder

14.8. Some existing employees may have gaps in their personnel files. It is important that in these cases you show an audit trail of your attempts to gather the required information (Appendix 1)

14.9. 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 a separate folder. Appendix 1 should be used

14.10. References should be retained in the personnel file.

15. Annual Declaration

15.1. The Annual Declaration requires staff to declare:

- Criminal convictions;
- Their acceptance of key policies;
- Business or personnel interests; and
- Changes to personnel data (as applicable).

15.2. The Academy 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.

15.3. Academies must be able to evidence that all staff have completed the Annual Declaration, specifically the section regarding acceptance of safeguarding information.

16. Safer Recruitment Training

16.1. Safer recruitment training teaches safeguarding skills that help schools to better protect children while recruiting staff and volunteers'. From 01 September 2014, safer recruitment training no longer needs to be approved by the Secretary of State. 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.

16.2. School leaders will use their professional judgment to determine appropriate training for the needs of their staff and their school. All Academies 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.

16.3. All interview questions must include two safeguarding questions appropriate to the post being recruited.

16.4. All electronic application forms must be signed by the candidate at the interview.

16.5. 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 from Education*' Part 1 and Annex A.

16.6. Staff must sign and date to acknowledge that they have read and understood this document. This should be recorded on the SCR

17. Personnel Files

17.1. The personnel files must be organised with dividers and be in chronological order.

17.2. Having completed the pre-employment checks in line with the **Recruitment and Selection Policy**, 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 line manager or headteacher) which the Academy considers to be satisfactory.
- Signed hard copy of the application form or electronic application form sent via a work email
- Photocopies 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. If alternative identity checks were required, these must be kept in the file.
- Confirmation of medical fitness and copies of any risk assessments completed as a result of the occupational health assessment.
- (See Appendix 2 - Declaration of Medical Fitness)
- Right to Work
- If the DBS disclosure revealed a criminal record and a DBS risk assessment is required (see Appendix 7) a copy of the risk assessment must remain on the personnel file.
- Contract of Employment – Signed by the headteacher and Employee
- Equal Opportunities Monitoring form
- Offer of appointment letter
- Prohibition print check – dated
- All interview related information for the employee – interview schedule, panel question / feedback forms (including evidence of safeguarding questioning), records of observations and other tasks undertaken, RTW's and evidence of any further absence management processes.

- OH referrals and reports
- Health/medical related risk assessments
- Copy of any amendment to contract letter, including hours, grade, pay etc.
- Letter of Reassurance (Appendix 3)
- Training records / certificates including Safer Recruitment

17.3. A separate folder should contain:

- Leave of Absence Requests;
- Annual Declaration Forms

17.4. 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.

17.5. It is very important that both the SCR and Personnel files are confidential. The SCR should be password protected and regularly backed up. A hard copy of the SCR should always be available in case of IT failure/breakdown (ref 4.2).

17.6. The personnel files should be stored in a secure place and have restricted access.

18. Training

18.1. Training on maintenance of the SCR will be included as part of the induction process for appropriate staff in academies, human resources and governance.

19. Responsibilities

19.1. The headteacher has overall responsibility for the academy SCR, and the content of the employee personnel files but will delegate the process of maintaining them to a named member of the Academy's support team.

19.2. The Director of Corporate Services has overall responsibility for the national SCR which includes the regional teams, trustees and AAG members. They are also responsible for the content of the employee personnel files but will delegate the process of maintaining them to a named HR Lead.

19.3. Headteachers and the Governance team are responsible for ensuring that they have implemented the arrangements described in this policy to carry out and record Safeguarding checks for staff, volunteers, contractors and anyone who has regular access to children within the Academy and to maintain the employee personnel files.

19.4. Headteachers and the System Leader (Safeguarding) should conduct regular management checks to ensure the SCR is compliant with this protocol and any subsequent updates, complete and up to date, and those checks should be documented (refer to appendix 6).

19.5. Further advice and any updating of this document will be provided by the E-ACT System Leader – Safeguarding (North).

20. Monitoring and compliance

20.1. Compliance with this policy will be monitored by the regional HR and safeguarding leads, as well as the governance team for their respective areas.

21. Review

The policy will be reviewed every two years by the E-ACT System Leader – Safeguarding (North)

Appendix 1

Dear....

During a recent audit of personnel files held at the academy by E-ACT, it was found that there were a small number of files for staff with longer term service, with no trace of original job application forms/ employment references/ UK Right to Work ID documentation **[delete these as appropriate]**

This information should have been transferred to the academy by the previous employer at either the point the Academy was created and your contract of employment was transferred under the **Transfer of Undertakings (Protection of Employment Regulations)** i.e. when converted to **[Name of Academy]**, or when the academy changed its Human Resources administration service provider from the predecessor Local Education Authority to Kier services.

Despite various attempts, I regret it has not been possible to obtain this information from your previous employer. To ensure compliance with 'Keeping Children Safe in Education' statutory requirements, you are required to complete an E-ACT application form/ provide us with ID documents as proof of your right to work in the UK/provide us with names and contact details of two referees with whom we can make contact to confirm your employment history and suitability to work with children (note - this must not be a **[Name of Academy]** employee). **[delete as appropriate]**

This information should be provided to us before **DATE**. If you have any difficulties complying with this instruction you should contact me by _____.

Should you have any additional queries about this request, please do not hesitate to contact **[Name]**

Yours sincerely,

Appendix 2

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 Academy is legally required to verify my medical fitness for the role and that my employment with the Academy 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 Academy retaining this medical declaration and any other information about my medical fitness on my confidential personnel file for the duration of my employment. I understand and agree that the Academy may use any medical information held about me to help discharge its obligations towards me as my employer as and when it is necessary, or reasonable, to do so. I further understand and agree that the Academy 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 [name of Academy] processing the data supplied above.

Signature

Date

Appendix 3

E-ACT Letter of Reassurance

To whom it may concern

I confirm that [Company name] complies fully with the Disclosure and Barring Service (DBS) code of practice.

We adhere to the E-ACT Single Central Record (SCR), personnel files and safer recruitment policy which dictates that all personnel supplied to your Academy by E-ACT through [Company name] are appropriately vetted in terms of their enhanced DBS clearance, Children's Barred List check, 'Right to work in the UK', references and qualifications, Prohibition from Teaching check and further checks on people working or living outside the UK.

Upon commencing a placement, such personnel are required to bring photographic identification and a copy of their enhanced DBS certificate as evidence for the SCR held by the placement organisation.

E-ACT staff not based at your Academy must present their badges when visiting the Academies which contains their DBS number.

Yours sincerely,



David Moran
CEO
E-ACT

Appendix 4

Visitor Protocol Guidance

Visitor Protocol

All visitors to the academy will be asked to bring formal photographic identification with them at the time of their visit (unless they are named on the approved visitors/contractors list as set out below). They must follow the procedure below.

- Once on site, all visitors must report to reception first. No visitor is permitted to enter the academy 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.
- All visitors will be asked to sign the electronic signing in system. Required information will include their name, organisation, who they are visiting and car registration. A photograph will also be taken.
- Attention should be raised to the safeguarding procedures at the academy and a safeguarding leaflet issued. By signing in electronically, the visitor confirms acceptance of the procedures.
- All visitors will be required to wear an identification badge and a red lanyard. Both the badge and lanyard must remain visible throughout their visit.
- 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 (indicated by a green lanyard)

Approved Visitor List

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

- a) They have a current clear enhanced DBS check and a copy of this has been registered on the Academy's SCR **AND**
- b) A current clear DBS children's' barred check has been undertaken **AND**
 - 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 academy.
 - Approved visitors will be required to wear an identification badge and a green lanyard. Both the badge and lanyard must remain visible throughout their visit.
 - A copy of the approved visitor list will be kept behind reception at all times.

Visitors Departure from Academy

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

- Sign out via the e-signing system.

- Return the identification badge and lanyard to reception.
- A member of staff must escort those visitors with red lanyards back to reception.

Unknown/Uninvited Visitors to the Academy

Any visitor to the academy site who is not wearing an identity badge should be challenged politely to enquire who they are and their business on the academy site.

They should then be escorted to reception to sign in and be issued with an identity badge.

The procedures under “Visitors to the Academy” 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 academy grounds, police assistance will be called for.

Trustees, Academy Ambassadorial Groups (AAGs) and volunteers

All trustees, AAG members, and volunteers must comply with safeguarding procedures, completing a DBS disclosure form (if not already held) via the Academy office. The Regional Coordinators will assist in obtaining the DBS for AAG members. The Governance Team will assist in obtaining DBS checks for the trustees

The Academy must check all trustees, AAG members and volunteer DBS certification is current (i.e. less than 3 years old). Thereafter, procedures as per above should apply. Please note that Ambassadors should sign in and out using the e-signing system.

New members of the Governance and regional teams will be made aware of this policy and familiar with its procedures as part of their induction. This is the responsibility of the Director of Corporate Services and/or the Regional Education Director.

New volunteers will be asked to comply with this policy by the staff member they first report to when coming into the academy for an activity or class supporting role.

Appendix 5

Volunteer Application Form

The Academy is committed to safeguarding and promoting the welfare of children and young people and expects all employees and volunteers to share this commitment.

Applicant's Personnel details

Surname	
First names	
Title (select as appropriate)	Mr <input type="checkbox"/> / Mrs <input type="checkbox"/> / Miss <input type="checkbox"/> / Ms <input type="checkbox"/> / Other <input type="checkbox"/>
Maiden name or previous names	
Address	
Email address	
Correspondence Address (if different from above):	
Daytime telephone number	
Mobile	
Home	

Driving Licence

Only answer if a full driving licence is required for the role.	
Do you hold a current Driving Licence? (select as applicable)	Yes <input type="checkbox"/> / No <input type="checkbox"/>
If YES, please state the type of licence you hold	
Do you have any current endorsements?	Yes <input type="checkbox"/> / No <input type="checkbox"/>

(select as applicable)	
If YES, please specify:	

Why are you applying for voluntary work at the school?

Please mention any skills or experience that you bring to the role, and explain what you want to achieve from volunteering.

References

Please provide two references, one employment reference and one character reference. Please let your referees know that we may contact them.

Employment referee	
Name	
Address	
Tel No:	
Occupation	
Email Address	
Character referee	
Name	
Address	
Tel No:	
Occupation	
Email Address	

Safeguarding Vulnerable Groups Act 2006

Have you ever been the subject of any allegations in relation to the safety and welfare of children, young people and/or vulnerable adults, either substantiated or unsubstantiated?	Yes <input type="checkbox"/> / No <input type="checkbox"/>
If you have answered yes to the above question, you must supply details on a separate sheet of paper, place it in a sealed envelope marked confidential and attach it to your application form.	
I have attached details requested	Yes <input type="checkbox"/> / No <input type="checkbox"/>

Please note that it is a criminal offence for a person that has been barred from working with children and young people to work or volunteer in a school.

Rehabilitation of Offenders Act 1974

Please note that for any role in a school **you must declare any convictions (including bind over and cautions)** regardless of whether or not they would be considered “spent” in other circumstances.

Have you ever been convicted of a criminal offence?	Yes <input type="checkbox"/> / No <input type="checkbox"/>
Are there any alleged offences outstanding against you?	Yes <input type="checkbox"/> / No <input type="checkbox"/>
If you have answered YES to either of the questions above, please give details below or, if you prefer, attach details in a sealed envelope marked 'strictly confidential'.	

Declaration

I declare that the information given on this application form is true and correct	
Signed:	
Date	
Print name	
If form has been completed electronically please place an 'x' in this box to indicate your consent →	<input type="checkbox"/>

How to return your form

Please return your completed application form to:

HR Manager,

Tel:

E-mail:

Appendix 6

Single Central Record (SCR) self-audit checklist

The SCR must cover the following people:

	✓ / x
• All staff, including supply staff, who work in school	
• All others who work in regular contact children in school, including volunteers	
• For independent schools, including academies, free schools, all members of the Governance	

SCR required checks carried out, certificates obtained and the date on which the checks were completed

Name	✓ / x
Identity check	
Barred list check	
Enhanced DBS check**	
Prohibition from teaching check for anyone involved in delivering lessons or who has past teaching experience)	
Section 128 Direction Check (all leaders, SLT and governance)	
Further checks on people living or working outside the UK, including checks for restrictions or sanctions imposed by a European Economic Area (EEA) regulating authority	
Check on professional qualifications (eg QTS)	
Check to establish the person's right to work in the UK	

Checks are dated	
Checks identify who carried these out	

*New teaching appointments from April 2014 – schools can access the Teachers Services System

** To comply with Data Protection, DBS certificates should not be retained any longer than six months. Other documents to verify identity, right to work in the UK etc, should be kept in personal files.

Comments

Date checked:.....

System leader.....

headteacher

Positive Disclosure – Risk Assessment Form: Disclosure and Barring Service (DBS)

To be considered with reference to the Recruitment, Selection and Disclosure Policy and Procedure

Name of applicant:	Position applied for:
	Considerations
Is the individual debarred or disqualified from working with children?	<i>If so, it is an offence for persons banned from working with children to apply to work with children. You should inform the Police and the Disclosure and Barring Service (DBS).</i>
Type of offence / sentence given	<i>Is the caution / conviction a "one off" or are there several?</i> <i>Are the cautions / convictions of a similar nature?</i> <i>Is the context behind the offence cause for concern (e.g. was the conviction for an act of "self-defence" or a premeditated act)?</i>

<p>Childcare disqualification</p>	<p><i>Is the information disclosed on the DBS certificate consistent with that provided by the applicant on the childcare disqualification self-declaration form if applicable? Yes / No / Not applicable</i></p> <p><i>If No, what are the differences?</i></p> <p><i>Does any information disclosed on the DBS certificate disqualify the applicant from working in a relevant role in early or later years provision with under eights?</i></p> <p><i>If Yes, it will be an offence to proceed with the appointment. Contact the applicant to discuss.</i></p> <p><i>If No, continue with risk assessment.</i></p>
<p>Date of offence</p>	<p><i>Was the Applicant a juvenile or adult at the time of the caution / conviction?</i></p> <p><i>How long ago was the caution / conviction awarded?</i></p>
<p>Relevance to position applied for</p>	<p><i>Is the caution / conviction relevant to the role which will be undertaken?</i></p> <p><i>Does the position involve face to face contact or contact via ICT that may occur on more than one occasion?</i></p>

Level of accountability / responsibility:	<p><i>What level of supervision will the Applicant receive?</i></p> <p><i>Is the Applicant likely to be placed in circumstances similar to those in which he/ she previously offended?</i></p>	
Applicant's attitude to the offence	<p><i>Does the Applicant show remorse?</i></p> <p><i>Does the Applicant take responsibility for the offence and recognise the harm that he / she caused?</i></p>	
Mitigating circumstances	<p><i>Were there particular personal circumstances at that time which led to the offence (e.g. financial hardship, dysfunctional family) which have now changed?</i></p>	
<p>Risk before precautions/ controls High / medium / low <i>(Please explain the reasons for your decision)</i></p>	<p>Minimise risk by <i>(Describe precautions / controls):</i></p>	<p>Risk after controls are in place High / medium / low <i>(Please explain the reasons for your decision - if there is still a risk despite controls applicant should not commence employment until enhanced DBS disclosure is received)</i></p>

Decision		
The Applicant will not be appointed <input type="checkbox"/>	The Applicant will be appointed <input type="checkbox"/>	The Applicant will commence work subject to the following conditions: <input type="checkbox"/>

Conditions of appointment:

Assessed by

.....

Print name

.....

Signature

.....

Job title

.....

Date assessed

Assessed by

.....

Print name

.....

Signature

.....

Job title

.....

Date assessed