



**MANAGEMENT AND GOVERNANCE DOCUMENTATION**

**RECRUITMENT POLICY NOVEMBER 2024**

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**Appendix 5 has been redrafted (and considerably reduced in length) to reflect further changes in: entitlement to work in the UK; documentation required to demonstrate such entitlement; and the mechanisms by which a prospective employer is required to check such entitlement. There has also been augmentation (within section 21) of the purpose and documentation of verification of identity, which appears to be poorly understood by some practitioners, despite the significance likely to be afforded to this practice by Ofsted in terms of safeguarding**





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## **1. Introduction**

- 1.1 The policy is based on the premise that the governors will ensure that fair, consistent and objective processes exist for matters relating to recruitment and selection of staff and volunteers.
- 1.2 Regardless of the size or nature of an organisation, appropriate processes to ensure absolute propriety in all elements of staff recruitment require not only to be individually robust but also to be applied in a consistent manner throughout. Accordingly, this policy is designed to develop and maintain an underlying culture of safeguarding awareness by observing best practice in relation to risk assessment and strategic management throughout.
- 1.3 The policy is designed to ensure that the best possible staff are recruited on the basis of their individual merits, abilities and suitability for the available advertised position, and to ensure that all individuals are given equal opportunity to apply for positions with the school with all applications being considered equitably and consistently.
- 1.4 Such practice will ensure that the school thus embraces fully the principles of the Equality Act 2010 whilst also acting in accordance with relevant sections of data protection legislation, principally the Data Protection Act 2018 and the General Data Protection Regulation (GDPR), by clarifying its justification to obtain and retain (or process) certain categories of identifiable data.

## **2. Purpose and scope**

- 2.1 This document underlies the principles enshrined in 'Inspecting safeguarding in early years, education and skills settings' (guidance for inspectors undertaking inspection under the common inspection framework – last updated September 2019) and in 'Working together to safeguard children' (statutory guidance on inter-agency working to safeguard and promote the welfare of children – July 2018, updated December 2020) as well as the documents entitled 'School Staffing (England) (Amendment) Regulations 2012' and 'Keeping Children Safe in Education 2022'.
- 2.2 The purpose is to ensure that a fair and consistent procedure is applied to all employees, having regard to the nature of their individual employment.
- 2.3 The purpose is also to ensure that safer recruitment procedures are followed in line with best practice to identify people who may be unsuitable to work with children, and additionally to ensure that those who come into regular contact with pupils are assessed as to their suitability (this will include individuals such as volunteers and supply staff: in certain circumstances it may also extend to contractors and their employees).
- 2.4 It is important that all staff have appropriate training, induction and appraisal so that they understand their roles and responsibilities and are confident about carrying them out.
- 2.5 These procedures apply to all employees (and potential employees) of the school. Nothing in these procedures is intended to contravene the statutory rights, duties and obligations of those individuals.

## **3. Preliminary review prior to recruitment**

- 3.1 Any vacancy presents an opportunity to consider restructuring or to reassess the requirements of the post within the context of the school's development plan and budgetary constraints.
- 3.2 Valid considerations include any change in the functions of the post, any alterations to the post in relation to new technologies or any new work patterns etc. Addressing these issues will help to clarify the precise requirements of the post and how it fits into the overall staffing structure of the organisation.
- 3.3 The departure of a member of staff represents an opportunity to gain useful information about their role which, over time, may have evolved beyond the parameters of the existing job description.
- 3.4 Such information may help to clarify requirements before a decision is taken as to whether the role should be advertised in an identical or amended format (or indeed may further inform debate as to the need for a direct replacement).
- 3.5 Accordingly, it is considered good practice to conduct exit interviews (or hold equivalent discussions) with the departing postholder as this will provide useful information about the role.
- 3.6 If an exit interview cannot be arranged prior to the employee leaving, an appropriate questionnaire can be emailed (or posted to their home address) to allow them an opportunity to respond.
- 3.7 In exceptional cases the employee may wish the exit interview to be conducted by someone other than their immediate line manager and such requests should, where possible, be accommodated (for instance by an HR Advisor undertaking that task).

#### **4. Planning process**

- 4.1 It is important that sufficient time is allowed in planning for recruitment (for an example of timescales see Appendix 1).
- 4.2 Relevant elements of planning include the following:
  - drawing up the job description and person specification;
  - deciding on the appropriate media for advertising;
  - drafting the advertisement;
  - preparing recruitment pack information; and
  - ensuring that all staff involved in the recruitment process are fully aware of their responsibilities.
- 4.3 For some posts there may be (in addition to face-to-face interview) in-tray exercises and other activities which will require to be factored into the timeline for the final assessment process.
- 4.4 In maintained schools the governing body must, in accordance with School Staffing Regulations, notify (in writing) the local authority of any headteacher or deputy headteacher vacancy before advertising the post (as appropriate) and appointing a selection panel.
- 4.5 In addition, in relation to the appointment of a headteacher in a maintained school the selection panel must advise the local authority as to the identity of all shortlisted candidates

and must also, having identified its preferred candidate, seek ratification by the full governing body of their proposed choice before an appointment is made.

## **5. Selection panel**

- 5.1 In accordance with safeguarding requirements, it is recommended that **at least** one member of every recruitment panel has undergone appropriate training in safer recruitment, and **it is a specific requirement for maintained schools**, in accordance with School Staffing (England) Regulations 2009, to ensure that this is the case.
- 5.2 Such training courses are not accredited at a national level, however training providers must cover, as a minimum, the content of the latest version of the document 'Keeping Children Safe in Education'.
- 5.3 The selection panel should normally consist of at least two managers (or senior postholders) who have the authority to make appointment decisions. It is not considered good practice for members of the governing body to involve themselves in recruitment decisions below the level of leadership posts.
- 5.4 For appointments to leadership posts there should be at least three panel members and governor representation would normally be anticipated for such appointments.
- 5.5 For appointments to the post of headteacher there should be at least three governors on the panel **in addition** to any external appointees or representatives.
- 5.6 The panel members must:
  - agree the job specification before carrying out the shortlisting process
  - agree the questions to be asked at interview (and any assessment activities that are part of the recruitment process)
  - agree to appoint a chair whose role is to co-ordinate
  - ensure that the interview process is conducted fairly and without discrimination.

## **6. Job description**

- 6.1 The job description should detail the fundamental purpose and principal tasks of the role.
- 6.2 The job description should be reviewed regularly to ensure that the duties as detailed continue to reflect, in an accurate manner, the practical nature of the role.
- 6.3 The job description should also be reviewed to ensure fitness for purpose whenever a post becomes vacant.
- 6.4 All job descriptions should be free of bias such as age, gender and disability. They should specify:
  - the main purpose of the role job
  - the main tasks of the role
  - the scope of the role – expanding on the main tasks and purpose and clarifying (where appropriate) the number of people to be supervisedand (in relation to support staff roles only) should clarify:
  - the grade of the role.

- 6.5 An accurate job description is essential for all posts in the staffing structure. It should include a statement of responsibility and requirements for safeguarding and can act as a guide to induction and training in addition to enabling prospective applicants to assess their suitability for the role.
- 6.6 The job description also provides the basis for drawing up a person specification, which is effectively a profile of the skills and aptitudes considered essential (or in some cases merely desirable) in the postholder.

## **7. Person specification**

- 7.1 The person specification represents a framework of the qualifications, skills, experience, knowledge and other attributes (selection criteria) which a candidate must possess to perform the duties of the role in a satisfactory manner (see proforma job description and person specification Appendices 2 and 3).
- 7.2 Drawing up the person specification allows the organisation to profile the ideal person to fill the job. It is very important that the criteria cited in the person specification are related precisely to the needs of the job. If these are inflated beyond what is necessary for effective job performance, there is a risk that an individual may be employed on the basis of false hopes and aspirations, in which event both employer and employee may end up disappointed in each other.
- 7.3 Another good reason not to set unnecessary requirements is to avoid any possibility of discrimination against an identifiable group of potential applicants. The very process of drafting a job description and person specification should help the employer to develop and implement a policy of equal opportunity in the recruitment and selection of employees.
- 7.4 Factors to consider when drawing up the person specification include:
- the skills, knowledge and aptitudes directly related to the post
  - the type of experience necessary
  - the competencies necessary (including, where appropriate, any requirement for fluency in spoken English)
  - the required level of education and training (but only so far as is necessary for satisfactory job performance).
- 7.5 Any specified criteria relating to personal qualities or circumstances **must** be directly related to the requirements of the post. These criteria must be applied equally to all individuals and must not discriminate on grounds such as age, disability, race (or nationality), religion or belief, gender (including transgender), pregnancy (or maternity), sexual orientation, marital or civil partnership status, or whether the individual is or is not a member of a trade union. To act otherwise is potentially discriminatory.
- 7.6 The criteria must be categorised as either essential or desirable; essential being applicable to those criteria which the applicant must possess to perform the role adequately and desirable being applicable to those criteria which, although likely to enhance performance from the outset, could, even if not initially possessed, be developed over time with training.

## **8. Advertisement**

- 8.1 The job description and person specification which appear alongside the advertisement will enable both the selection panel and the potential applicants to identify both the key functions of the role and the qualifications, skills, experience and attributes believed to be necessary in a successful candidate.

- 8.2 Any advertisement needs to be designed and presented effectively to ensure the right candidates are attracted. Advertisements must be tailored to the level of the target audience and should always be clearly worded and easily understood. All advertisements, whether for internal or external placement, should carry the same information.
- 8.3 Advertisements must be non-discriminatory and should avoid use of any language which is culturally or gender specific. (As an example, to avoid accusations of age discrimination it is advisable not to use such phrases as 'young and dynamic', 'would suit someone who has just qualified', 'minimum of ten years' experience' or similar, as these may lead to age bias.)
- 8.4 In terms of a 'genuine occupational requirement' (GOR), it is permissible to advertise for a person of a particular age, gender, race, religion etc provided the employer can demonstrate there is a specific requirement and that the action is proportionate to the aim, in other words that this cannot reasonably be achieved by any other means. It is good practice that a statement to this effect is added to any advertisement that contains a GOR, specifying that said requirement is 'permitted under Schedule 9, part 1 of the Equality Act 2010, which is deemed relevant to the circumstances'.
- 8.5 An equal opportunities statement (which will confirm the organisation as one which will welcome applications from all sections of the community) should be included in the text and commitment to safeguarding should also be emphasised. An example of appropriate wording for the latter concept would be:
- XX School is committed to safeguarding and promoting the welfare of children and young people and expects staff and volunteers to share this commitment.*
- 8.6 Factors to consider when drafting the advertisement include the following:
- keep the text short and simple while giving the main aspects of the post such as: pay, career prospects, location, contract length, suitability for job share, fixed term etc
  - ensure an appropriate contact name and phone number for further information and enquiries
  - confirm the requirement for a Disclosure and Barring Check (and/or other relevant declarations) appropriate to the post
  - make clear the form of reply and the closing date\* for applications.
- \*The closing date for applications should usually be no less than two weeks after the advertisement has appeared, although this may be dependent on the urgency of the matter.*
- 8.7 It is good practice to advertise all vacancies externally to avoid any potential claim of discrimination – however, where there is a reduction in the workforce or developmental reasons, posts will be recruited from existing staff.
- 8.8 Internal recruitment can have the advantages of building on existing staff's skills and training and providing opportunities for development and promotion. This represents a good way to retain valuable employees whose skills can be further enhanced. Other advantages include the opportunity for staff to extend their competencies and skills to the benefit of both the organisation and the individual, and the enhancement of individual motivation (such as in relation to succession planning).
- 8.9 Examples of places to advertise include the following:
- commercial recruitment agencies – often specialise in particular types of work
  - DfE Portal – free advertising
  - national newspapers – advertising in the national press is expensive, but likely to produce a good response for senior roles

- specialist and professional journals – less expensive than the national press, these journals can guarantee to reach the precise group of potential applicants for specialist and professional vacancies
- internet, microsites, school website
- local newspapers, radio – for less specialised jobs, or to target groups in a particular area
- Jobcentre Plus (DWP) – will display employers' vacancies and refer potential recruits: they also administer some of the government training programmes (the Disability Service Team staff at Jobcentre Plus can help address the specific requirements of attracting disabled people).

## **9. Application form**

- 9.1 A well-crafted application form (whether submitted as hard copy or in electronic format) can assist in the recruitment process by enabling necessary and relevant information to be provided by the applicant to detail their experience and skills. The design of the application form needs to be realistic and should be tailored to the available position.
- 9.2 In accordance with data protection legislation (most pertinently GDPR) any requests for personal information must be confined to elements which can be justified as necessary for the process of recruitment, or (in relation to the successful candidate only) necessary for contractual purposes of employment. In this regard the application form may well wish to reference the school's privacy notice, and signpost where this will be found.
- 9.3 The application form should also make reference to the employer's protocols in relation to employment of individuals with a previous criminal record (this is discussed in more detail in the following section).
- 9.4 The use of a well-designed application form has advantages in providing the required information in the format desired by the recruiter, thus providing the basis for the initial sift prior to shortlisting and interview. The application form should provide a record of experience and qualifications which is easy to follow if the form is completed accurately.
- 9.5 A minimum of two references must be obtained, one of which should always be from the applicant's current (or last) employer, and this requirement should be outlined clearly within the applicant pack/application form. Any reference obtained from a school should generally be signed by either the headteacher or a senior manager.
- 9.6 Any information which has potential relevance to protected characteristics under the Equality Act 2010, such as title (revealing gender and, in some cases, marital status), name (possibly revealing ethnic origin) or date of birth (revealing age), but which may legitimately be requested for monitoring purposes (to evidence compliance with legal requirements guarding against discrimination) should be clearly shown to be for this purpose only. Accordingly, such data (see section 11 for further information on monitoring of demographics) should be recorded on a separate sheet or tear-off section.
- 9.7 If the applicant's response on the application form declares (or suggests) that they are disabled, the recruiting organisation should take note of this. In the case of disability, the school, as the (potential) employer, has a legal duty under the Equality Act 2010 (and in accordance with its Equality Policy) to make reasonable adjustments, for example by holding the interview in an easily accessible room or allowing extra time for selection tests.
- 9.8 The school may also be under an obligation to follow the 'disability confident' scheme (or an equivalent initiative) adopted by certain employers. One of the commitments of this scheme is that participating organisations will interview all disabled applicants who meet the minimum criteria for a job vacancy (see subsequent section on shortlisting) and will

consider them on their abilities.

## **10. Criminal records considerations**

- 10.1 The school will reference (within the applicant pack/application form) the requirement for Disclosure and Barring Service (DBS) checks for relevant roles and will draw the attention of candidates to the information contained in Appendix 7 which clarifies the school's policy on employing people with a criminal record.
- 10.2 Applicants are not required to declare information relating to criminal records when responding to a self-disclosure request or when completing a job application form. Employers must not take any such information into account when assessing an applicant's suitability for a post.
- 10.3 DBS guidance suggests that organisations use the following questions (to which the answer must be either 'yes' or 'no') as a template for their own recruitment processes:

*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?*

- 10.4 The following paragraph should also be included in the application form within the section for employing people with a criminal record:

*The amendments to the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (2013 and 2020) provide that when applying for certain jobs and activities, certain convictions and cautions are considered 'protected'. This means that they do not need to be disclosed to employers, and if they are disclosed, employers cannot take them into account. Guidance about whether a conviction or caution should be disclosed can be found on the Ministry of Justice website: <https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974>. Further advice and guidance may be obtained from NACRO or Unlock.*

- 10.5 It should be noted that in line with safer recruitment procedures, it is recommended that only those applicants who are shortlisted should be asked to disclose any criminal convictions. Additionally, it is necessary for applicants to be provided with information on where to access relevant advice (such as from NACRO or Unlock) before details of convictions are submitted, and applicants must therefore be given time to access this information and advice. Accordingly, to allow sufficient time, this should be done after shortlisting is completed but before interviews take place. (Note that supplying information pertaining to the disclosure of convictions on the organisation's application form is helpful in meeting the prospective employer's obligations in this regard.)
- 10.6 DBS guidance states that employers should conduct a case-by-case analysis of any convictions and cautions disclosed and consider how, if at all, they are relevant to the position sought. It also states that it would be advisable for the employer to keep records of the reasons for any employment decision (and in particular rejections), including whether any convictions or cautions were taken into account and, if so, why.

## **11. Applicant pack**

- 11.1 The principal aim of the applicant pack is to clarify the role in sufficient detail as to encourage

applications from those individuals most suited to the role. The pack may contain:

- a covering letter explaining contents and further information
- a copy of the advertisement (which in turn should specify if fluency in spoken English is a necessary requirement of the post)
- an application form with equal opportunities monitoring form attached
- advice on how to complete the form
- job description and person specification
- organisation chart (reporting lines etc)
- information about the school/profile/prospectus/statistical information
- information about the local area
- outline terms and conditions of employment
- the employer's policy on DBS checks (details of this are provided in Appendix 6)
- the employer's policy on employing people with a criminal record (see Appendix 7)
- details of other pre-employment checks (including those related to disqualification as and when relevant – see Appendix 9).

11.2 The applicant pack should explain the application process and clarify both the closing date and, ideally, the date(s) on which interviews (and assessments, if applicable) will be held.

11.3 Application forms received from candidates should be scrutinised on arrival by an administrator independent of the selection panel to ensure that they have been completed properly and that the information contained within them is consistent. Having ensured their acceptability on these points the administrator should then anonymise the application (see following section) by removing all identifiable information before the relevant sections are passed to the recruitment panel for shortlisting.

11.4 Incomplete applications should not be accepted. A decision should be made at the outset of the process as to whether any applications that are found to be incomplete are to be returned to the applicant for completion or, alternatively, discarded without further reference to the applicant.

## 12. Demographic monitoring

12.1 The Equality Act 2010 makes it unlawful for employers to discriminate against job applicants (and existing workers) because of a 'protected characteristic'.

12.2 The protected characteristics under this act are (in alphabetical order): age; disability, gender reassignment, marital or civil partnership status, pregnancy and maternity, race (or nationality), religion or belief, sex and sexual orientation. (It is similarly illegal, albeit under different legislation, to discriminate on the grounds of membership (or non-membership) of a trade union.)

12.3 To minimise the possibility of receiving a claim alleging discrimination, it is good practice to ensure that the initial stage of demographic monitoring is carried out (on initial receipt of the completed application forms) by an administrator **independent of the selection panel**.

12.4 The separate elements of each application form should be identified on the recruitment

summary sheet using the number allocated to each form, and any personal identifiers, as well as any demographic information, detached from the application before the remaining element of the form (containing details of qualifications, training, current and previous employment plus the applicant's personal statement) is sent (in anonymised format) by the administrator to the appointment panel once the closing date has been reached.

- 12.5 The appointment panel should then proceed with shortlisting by reference to anonymised applications only.
- 12.6 The completed summary sheet (in anonymised format) should be kept within the recruitment file but all identifiable data relating to the unsuccessful candidates should be retained securely until disposed of in accordance with section 17.
- 12.7 Demographic data, consisting of information (contained within the equal opportunities monitoring form – completion of which remains optional for the candidate) which constitutes a discrete and anonymised element within the application pack, can, however, be retained indefinitely (on the basis that it contains **no identifiable data**) for the purposes of monitoring the employer's performance in relation to equal opportunities and related concepts.

### **13. Shortlisting**

- 13.1 The shortlist should be drawn up as soon as possible after the closing date and to ensure fairness the process of shortlisting should involve an absolute minimum of two members of the recruitment panel. Shortlisted candidates are chosen following a comparison of the information provided in their (anonymised) application forms with the person specification, which is in turn based upon the job description.
- 13.2 The shortlisting grid/matrix should only be completed after application forms have been numbered and have had their identifying information (including demographic data) removed (by someone not involved in the shortlisting process – see previous sections), thus ensuring that a systematic and objective procedure is followed (an example of the format used in a model shortlisting matrix is provided in Appendix 10).
- 13.3 The chosen criteria for the post should be entered on the grid and each applicant's number should be inserted. The criteria should then be compared to the information supplied in the application form, inserting a tick or a cross to indicate whether these have been met. The columns should then be totalled.
- 13.4 A clear distinction should be maintained between essential and desirable criteria, and any candidate who does not meet the essential criteria should not be shortlisted for interview. Should the initial shortlist be longer than required in terms of practicality then desirable criteria can be used to further differentiate between those candidates who have satisfied all essential criteria.
- 13.5 If, however, the (potential) employer is under an obligation to follow the 'disability confident' (or an equivalent) scheme (see above) then in the event of a candidate who has declared a disability on the application form satisfying all the essential criteria, that candidate should be interviewed.
- 13.6 Should job applications be received from more than one applicant with a view to the role being undertaken on a job share basis then equal consideration must be given to such proposals, although in these circumstances each applicant is required to be assessed for the role on the merits of their **individual** application.
- 13.7 Once shortlisting is completed, the record on the summary sheet for candidates who have been excluded from further consideration at this juncture should be updated by an administrator with the principal reason(s) for their exclusion documented in the appropriate

location (see summary sheet Appendix 12).

- 13.8 In accordance with KCSIE 2022, the school will give consideration to online searches\* on shortlisted candidates for employment (as well as individuals under serious consideration for volunteer roles) as part of their due diligence before any person is confirmed as a new member of staff. This is to ensure that all persons to be interviewed are suitable to work with children and keep them safe.

*\*This recommendation has caused some disquiet. Schools and academies may wish to note that KCSIE 2022 states that they "should" consider carrying out an online search. Accordingly, such practice is not compulsory but is expected to be followed unless there are good reasons not to do so, although care must be taken not to discriminate against those candidates with a protected characteristic, or to pass on to the recruitment panel any information that is not strictly relevant to the candidate's suitability to work with children (this being the sole justification for such practice). For these reasons it is recommended that any online searches should ideally (when circumstances permit) be carried out by a member of the HR team who is not involved with the interview process, and only information that may need to be explored further at interview (to establish the candidate's suitability as defined above) should be passed on to the recruitment panel.*

- 13.9 All shortlisted candidates should be made aware that they may be subject to an online check and that if anything of concern emerges from this they will be asked to comment on it at interview.
- 13.10 Following interviews (and/or additional assessments as and when appropriate), once a decision has been reached to offer the position to the chosen candidate, details of all unsuccessful candidates should be passed to administration for the summary sheet to be similarly updated with the principal reason(s) for their exclusion from further consideration.
- 13.11 If there is a poor field of applicants, and only one applicant meets the essential criteria, that person may be appointed to the position. However, this should only be after a face-to-face interview has been undertaken (this may conceivably be carried out virtually, dependent on circumstances) to satisfy the recruitment panel as to the individual's suitability for the role in question.

#### **14. References**

- 14.1 Any offer of employment must be conditional upon provision of satisfactory references (in addition to other pre-employment checks). The purpose of seeking references is to obtain information (which must in every case be accurate, factual and not misleading) to support appointment decisions.
- 14.2 The application form requests two references, one of which must be from the candidate's current (or most recent) employer. Character references may be acceptable in the absence of a suitable employment history but neither referee should be a relative or someone known to the applicant solely as a friend.
- 14.3 The form will also reserve the right of the prospective employer to approach any of the candidate's previous employers. If the candidate has previously worked with children but their current (or most recent) employment does not (or did not) involve work with children, then one reference should be from the employer with whom the applicant most recently worked with children.
- 14.4 References should always be sought and obtained directly from the referee and sufficient diligence should be undertaken to ensure not only that all referees are genuine but also that they are in a position of validity in relation to the provision of a reference. For example, any reference which is provided on school headed paper but has been signed by a person other than a senior leader should have been reviewed (before being issued) by a person in

authority (given that it purports to emanate from the school) and it may be in order to confirm that this is indeed the case.

- 14.5 The reference request, which should be accompanied by a copy of the job description, should make clear that only objective (and verifiable) information is sought. It is vital that subjective opinion should not be encouraged (and for a model reference request see Appendix 4).
- 14.6 References will be sought for all shortlisted external candidates and should also be requested for shortlisted internal candidates if the new role involves a significant change of responsibilities (although in the case of the latter these should always be sourced from an individual manager who is not personally involved in the shortlisting/interview process).
- 14.7 When seeking references, the school should make clear that, although these are to be regarded as confidential, they may be shared with other persons involved in the recruitment process and may also require to be shared with the candidate on request.
- 14.8 The consent of the applicant should always be obtained before seeking a reference, and although this may be implied (on the application form) it is appropriate to seek (and obtain) explicit consent from the applicant if any sensitive personal data (such as details of sickness absence or health) is to be requested from the referee (unless this is stated clearly on the application form). A referee may wish to request sight of such consent before responding.
- 14.9 References should (where possible, and only with the candidate's permission) be obtained before interview. All references received should be compared to the information supplied in the candidate's application form to ensure consistency and compatibility throughout. Any apparent discrepancy should be taken up with the candidate.
- 14.10 The current employers of all short-listed candidates will, within the reference request, also be asked for details of any capability history in the previous two years. The reasons for this are as enshrined in the School Staffing Regulations (England) (Amendment) 2012 which states:
- Governing bodies of maintained schools must confirm in writing whether or not a teacher at the school has been the subject of capability procedures within the last two years and, if so, provide details of the concerns which gave rise to this, the duration of the proceedings and their outcome, if asked to do so by the governing body of any maintained school or the proprietor of an Academy School to which that person has applied for a teaching post.*
- 14.11 In accordance with recommended practice the previous employer will also be asked for details of:
- whether the applicant has been subject to any disciplinary procedures for which a disciplinary sanction is still current
- and (where the applicant's previous employment has involved working with children or young people) details should also be sought of:
- any disciplinary procedures involving issues related to the safety and welfare of children or young people to which the applicant has been subject, such details to include the outcome of those procedures (inclusive of details of any relevant disciplinary sanction which may have since expired)
  - any allegations or concerns that have been raised about the applicant that relate to the safety and welfare of children or young people, or questionable behaviour towards children or young people, and the outcomes of those concerns (for example whether the allegation or concern was investigated, the conclusion reached and how the matter was resolved).
- 14.12 It is particularly important that the question relating to working with vulnerable groups (as

detailed in the proforma) is asked whenever a reference is requested.

- 14.13 In the event of a reference in respect of the preferred candidate not being obtained prior to interview, the school will ensure that a reference is received and scrutinised, and that any concerns are resolved to the school's satisfaction before an offer of appointment is confirmed. If the reference is vague or unspecific, the referee should be contacted and requested to provide further information (preferably in writing) as appropriate.
- 14.14 The school will not accept 'to whom it may concern' testimonials or unsolicited correspondence supplied by the candidate.

## **15. Invitation to interview**

- 15.1 Candidates for interview should be informed of their shortlisting in a letter that contains a detailed programme for the interview day(s) including:
- any preparation required by candidates (such as for a presentation or lesson)
  - an indication of the time it is anticipated the process is likely to take
  - a location map or instructions relating to the interview venue.
- 15.2 Disabled candidates should be contacted in writing (normally through the invitation letter) to ascertain what arrangements/reasonable adjustments may be required to enable them to participate fully in the interview/assessment process.
- 15.3 Where relevant, the invitation should advise candidates that any issues arising from references (or from an online search) will be discussed at interview.
- 15.4 To comply with legal requirements in a way that avoids claims of discrimination, **all** prospective employees who are to be interviewed should be asked to prove both their identity and their eligibility to work in the UK. Photographic proof of identity (such as a passport) should be presented for verification at interview and a record should be kept specifying the precise means by which the individual's identity has (by comparison with photo ID) been verified (and additionally stating when and by whom such verification was undertaken). Further information on eligibility to work in the UK is detailed in Appendix 5.
- 15.5 It is therefore important to include, within the invitation letter sent to candidates, advice about the appropriate original documents to be brought to interview as a means of establishing proof both of identity and of the applicant's right to work in the UK. The relevant documents should be copied by the school and kept on file for the successful candidate.
- 15.6 Candidates should also be asked to bring to the interview, for verification purposes, original documentation in relation to their qualifications. Once again copies should be made and kept on file for the successful candidate. If originals are not available a letter of confirmation from the awarding institution should be obtained from the candidate.

## **16. Final selection process**

- 16.1 The aim of the selection process is to measure the skills, abilities (or competencies) and experience of the shortlisted candidates against the requirements identified in the person specification. An interview should take place with all candidates who have been shortlisted, but it may also be appropriate to use selection tests to complement the process.
- 16.2 The school may consider (where relevant) the observation of trial lessons as part of an extended interview process (in line with the School Staffing (England) (Amendment) Regulations 2012).

- 16.3 The school will ensure that tests for job applicants are not unlawfully discriminatory. For example, a written English test would discriminate against those whose first language may not be English – although this could be justified if an acceptable level of proficiency with written English was necessary for the post.
- 16.4 Examples of suitable tasks to be undertaken as part of an assessment might include the following: in-tray exercises; presentations; observed group discussion or lessons; group problem-solving activities; small panel interviews; or practical skills demonstration.
- 16.5 It is good practice for candidates (particularly those who have been shortlisted) to have an opportunity (prior to interview) to see the school and pupils at work. This may involve some pupils in showing interviewees around the premises in the company of a senior staff member.

## 17. Interview

- 17.1 The key purpose of a selection interview is to assess the skills, experience and general background of a particular individual in order to make a decision on whether that person is a suitable (or the most suitable) candidate for the role in question. Interviewing is the most frequently used method of assessing prospective employees and the selection process should always include a face-to-face interview unless this is logistically impractical.
- 17.2 The interview should also act as a forum through which each candidate can obtain information about the organisation and the vacant post. The selection interview should thus be structured around a two-way communication process.
- 17.3 The format of the interview should be the same for each candidate to help ensure that all shortlisted individuals undergo a similar experience and receive the same information about the post. However, this does not mean identical questions must be asked of each candidate (and if any issues of concern have arisen (from, for instance, an online search) then appropriate enquiry should be made at this point to satisfy the recruitment panel that the candidate is suitable to work with children).
- 17.4 Managers involved in recruitment have a duty to conduct selection interviews fairly and without bias either for or against any individual candidate. Reasonable adjustments must be made for disabled candidates who have requested special arrangements, to ensure that they are not placed at a disadvantage.
- 17.5 Questions asked at interview should be designed to obtain relevant information about the applicant's experience and skills. The interview also represents an opportunity to check facts, test achievement and assess aptitude and potential, and questions should in addition explore attitudes and motives in relation to working with children as well as probing any apparent gaps within a candidate's employment history as declared on their application.
- 17.6 Safeguarding guidance recommends that competency based questions should be used which ask the candidate to 'relate how (they) dealt with an actual situation' or questions that 'test a candidate's attitudes and understanding of issues'.
- 17.7 It is potentially discriminatory (on the grounds of disability) to ask a job applicant questions about their health or disability before making a job offer to that person, although there are some exceptions to this rule in that during an interview it is legitimate to:
- establish whether the applicant has the capability to "*undertake a function that is intrinsic to the job*" (this is defined as a function which, if it could not be performed, would mean that the job could not be carried out)
- and (less commonly) to:
- make sure the candidate possesses any specific disability that may be deemed

necessary as a general occupational requirement (GOR) for that role.

- 17.8 The use of an assessment grid to record conclusions is highly recommended to encourage a systematic and objective approach that can be readily justified in the event of subsequent challenge (see model interview grid Appendix 11).
- 17.9 The recruitment panel should be aware of any candidate being in receipt of an ill-health pension and in such instances should confirm with the applicant whether they would be eligible to undertake paid work under their pension scheme rules.
- 17.10 In safer recruitment procedures applicants should not be asked verbally during the interview whether they have any criminal cautions or convictions that would prevent them from working with children. To do so would not allow them access to the independent advice they are entitled to obtain in relation to their legal obligation to disclose certain facts of relevance to this topic.
- 17.11 In the event that the applicant inadvertently discloses protected cautions or convictions, this information should not be taken into account regarding their suitability for the post, as this would be unlawful.
- 17.12 All candidates attending for interview should be informed how and when decisions on recruitment will be communicated to them.

## **18. Record keeping**

- 18.1 The school must always be able to justify the decision to recruit a particular individual in preference to other applicants. It is therefore necessary to document the process as much as possible, and at interview sufficient time should be allocated between each candidate for panel members to record appropriate information to evidence the eventual recruitment decision reached.
- 18.2 Such notes should be retained, along with assessment grids or matrices (as mentioned above) and application forms (along with demographic information) from all candidates, for as long as is required in order that objective evidence is at hand in the event of a recruitment decision being challenged (at a subsequent date) by an unsuccessful candidate.
- 18.3 Relevant information relating to candidates who have **not** been appointed should therefore be kept on record in the short term (although this should always be in accordance with data protection legislation and the school's relevant policies and procedures) to offer security (as outlined above) in the event of subsequent legal challenge.
- 18.4 Such information may also legitimately be retained and referred to in the event of the initial chosen candidate's appointment falling through, or a similar position within the school becoming available in the reasonably near future, as it may be considered acceptable, within a matter of a few weeks or months, to offer such a position to a candidate who has narrowly missed out on being appointed.
- 18.5 Notwithstanding the above, in normal circumstances any identifiable data relating to unsuccessful candidates should be deleted after a period of no longer than six months, although information relating to a successful candidate will of course be retained within their individual personnel file, subject to appropriate justification under GDPR, for the duration of their employment.

## **19. Conditional offer of appointment**

- 19.1 A **conditional offer** of appointment should always be made in the first instance, as official

confirmation of employment is dependent on certain conditions (outlined below) being satisfied. This requirement is designed to minimise the risk of appointing unsuitable staff.

- 19.2 Any job offer extended to a candidate must therefore always be conditional on relevant pre-employment checks being not only completed but also proving satisfactory. The school will ensure that robust vetting procedures are in place to support this objective.
- 19.3 These conditions will include provision of (at least) two satisfactory references (if these have not already been received prior to interview), a satisfactory declaration of health, evidence of the employee's right to work in the UK and proof of the employee's stated qualifications.
- 19.4 It is also essential (before commencing employment) that the applicant's identity has been verified by comparison of their appearance to acceptable and appropriate photo ID (such as a passport or UK driving licence). This confirmation of identity (whether carried out at the time of interview or at a later opportunity) should always be formally documented, with a record being made to confirm how and when such verification has been undertaken.
- 19.5 The conditional offer letter (in addition to setting out the school's requirement in terms of pre-employment checks) should also include the following information:
  - post title and brief description
  - terms of employment (hours, pay etc)
  - start date
  - details of any probationary period.
- 19.6 The appointment should only be officially confirmed, by means of issuing a contract of employment which (see below) should either incorporate or be accompanied by a statement of particulars, once the conditions specified in the conditional offer letter have been met.
- 19.7 Providing false information to a prospective employer (whether in relation to the initial application or to any pre-employment check) is an offence that could result in the application being rejected, or in summary dismissal if the applicant has already been appointed.

## **20. Pre-employment checks**

- 20.1 Whilst certain pre-employment checks (further explored below) are mandatory for specified roles care must be taken by schools to ensure that they do not employ an indiscriminate approach whereby all applicants (or indeed employees) are subject to enquiries of an excessively intrusive nature, regardless of circumstances.
- 20.2 Accordingly, schools must always ensure that there is an appropriate justification for seeking to acquire, and to hold, personal (special category) data, and must similarly be conscious that this justification may not be applicable to certain data previously placed (whether or not legitimately at that time) on record (and for this reason it is inappropriate to request certain sensitive information, for instance in relation to medical history or previous convictions, from applicants unless and until there is an intention to make a conditional offer of employment to the individual).
- 20.3 A pertinent example of this may be in relation to 'disqualification by association' which is no longer applicable to staff employed within an educational setting, although schools with nurseries and/or those establishments which provide pre-school or after-school provision of a non-educational nature (such as breakfast clubs etc) for those under the age of eight, still need to be aware that certain staff members, namely those involved either directly, or in the management of, childcare activities (as opposed to educational provision) should not be employed in such roles if they are (**in their own right**) disqualified from involvement in such care (see Appendix 9 for further explanation).

- 20.4 Although there is no legal obligation for an appropriate declaration to be completed to document the eligibility of such members of staff many schools nonetheless find this to be the most expeditious method of ensuring that they are not employing staff inappropriately, and a form designed for this purpose appears as Declaration A in Appendix 9 (Declaration B being the parallel declaration for those members of staff who are not directly involved in childcare activities).
- 20.5 In the event that any pre-employment check (or personal declaration) reveals an unexpected disclosure of significance, the potential (or current) employer must be mindful that any decision reached on the basis of such information should always be proportionate to both the nature of the disclosure and the specific role proposed for (or undertaken by) the individual – in other words there must be no blanket policy of denying employment opportunities to persons identified in this manner without an objective analysis of the situation.
- 20.6 Additionally, all educational establishments should be aware of government guidance to the effect that schools should remind all staff (not just those working with children under the age of eight) that their 'relationships and associations' (including those online) may have an implication for the safeguarding of pupils, and that if there are concerns that such contacts may be of relevance then the school should be told.
- 20.7 Schools should ensure that staff understand their duty in this regard and should include guidance to this effect in relevant policies (to which purpose this wording is reinforced within the school's Safeguarding Policy).

## **21. Additional (DBS, prohibition from teaching, and Section 128) recruitment checks and risk assessments**

- 21.1 All staff employed by the school in regulated activity (further guidance in relation to DBS checks for volunteers is provided in Appendix 8) will undergo appropriate DBS (enhanced and barred list) checks.
- 21.2 However, there is no requirement to obtain a further DBS certificate for newly appointed staff who have come from a similar post in another school or academy and who have had no more than three months' break in service (although these individuals **must** provide evidence of their most recent DBS certificate). Such individuals will be requested to provide sight of original documentation (or to allow the school to use the 'updating service' if they have registered for this) to verify the authenticity of their DBS certificate, and for this to be documented on the school's Single Central Record (SCR) before any appointment is confirmed. Nonetheless, the Governing board of Woodhouse Primary School has determined that new employees will undergo a new DBS check to ensure information received is current.
- 21.3 The Single Central Record will document details of all relevant pre-employment checks for all members of staff, including directly employed teacher trainees, agency staff and, for independent schools (the definition of which includes academies) members and trustees of the academy trust.
- 21.4 Pre-employment check information recorded on the SCR must indicate when each check was carried out and should (as a minimum) include the following:
- an identity check;
  - an enhanced DBS check (in respect of which documentation will include the unique reference number, the date on which the certificate was issued, the identity of the

individual who has scrutinised the document in question and the date when this was inspected);

- a children's barred list check (ditto);
- a prohibition from teaching check (ditto) – this is not applicable to non-teaching staff (but see following clause);
- a section 128 check for governors of maintained schools and for management positions (including membership of the proprietorial body) in independent schools, including academies and free schools (as set out in paragraph 256 of KCSIE 2022)
- a check of professional qualifications, where applicable;
- a check to establish the person's right to work in the United Kingdom;
- further checks on people who have lived or worked outside the UK\* (including recording checks for relevant teacher sanctions and restrictions).

*\*Individuals who have lived or worked outside the UK must undergo similar checks to all other staff in schools or colleges. More detailed advice from the Home Office on this topic can be found at: <https://www.gov.uk/government/publications/criminal-records-checks-for-overseas-applicants>.*

21.5 In addition to prohibition checks for teachers the school will undertake similar checks in respect of any person who provides unsupervised/undirected teaching work to ensure that they are not subject to a prohibition order\*. (Although only individuals holding QTS can be subject to a prohibition order it is not unknown for such persons to subsequently gain employment in a support staff role, which, in certain establishments, can involve carrying out a teaching role and, accordingly, it is incumbent upon schools to ensure that no person who provides unsupervised/undirected teaching work (even if not employed specifically as a teacher) is currently subject to a prohibition order.)

*\*A prohibition order is put in place by the Secretary of State for Education, most often following a determination made by the Teaching Regulation Agency (TRA), to prohibit a person from any involvement with teaching.*

21.6 The school will not keep any photocopy or other image of the content of the DBS certificate (which remains the possession of the person to whom the information relates) or any equivalent certification (sourced from outside the UK). However, all DBS checks undertaken (and equivalent checks for those who have lived or worked abroad) will be documented accurately in the school's Single Central Record (SCR).

21.7 The school will also carry out (and document) a risk assessment in relation to any relevant volunteer roles, and this may, in certain circumstances, include provision to undertake further checks, although such decisions should always be proportionate to the role and the activities to be carried out by the individual concerned.

21.8 All temporary agency staff working in regulated activity will be DBS checked by their agency before they start work for the school and those providing teaching services (which may, as outlined above, include certain members of support staff as well as those holding QTS) will also be prohibition order checked. The completion of DBS checks forms part of the agreement between the school and the agency.

21.9 Written receipt of confirmation of an up to date and acceptable DBS check is required from the supply agency as is (where applicable) confirmation of the certified absence of any prohibition order. These confirmations will be documented on the school's SCR as detailed above.

21.10 It is, however, vital to note that it remains the responsibility of the school to ensure that the individual presenting himself or herself for agency teaching work at the school is the same person on whom these checks have been carried out, and once again an additional record

should be documented on the school's SCR to confirm how, when, and by whom such verification of identity has been undertaken.

## **22. Disqualification checks**

- 22.1 The school will, for relevant posts, request prospective employees to complete a safeguarding declaration (examples of which are provided at Appendix 9) to confirm that they are neither on a relevant barred list nor disqualified from working with children etc, and, moreover, that they will immediately inform the headteacher in the event of any of the clauses in the relevant declaration subsequently becoming applicable.

## **23. Right to work checks**

- 23.1 Permission to work in the UK is subject to legislation. It is a criminal offence to employ those who do not have permission to live or work in the UK. Under Section 35 of the Immigration Act 2016 these requirements are enforceable by a fine and potential imprisonment for up to 5 years where the employer "had reasonable cause to believe" that the individual was disqualified from being employed in the UK due to their immigration status.
- 23.2 The school is subject to a legal duty to prevent illegal working. In addition to verification of their identity (as above) all prospective employees must be requested to provide necessary documentation to demonstrate their eligibility to work in the UK. Such documentation should be copied and stored securely for the duration of the person's employment **and** for a further two years.

## **24. Health checks**

- 24.1 Anyone appointed to a post involving regular contact with children or young people must be medically fit (Education (Health Standards) (England) Regulations 2003).
- 24.2 Schools are statutorily responsible for satisfying themselves that potential appointees have the appropriate level of physical and mental fitness, and accordingly a declaration of health should be completed by the prospective employee.
- 24.3 This declaration should be scrutinised by an appropriate individual or agency before an appointment offer is confirmed. Advice from occupational health (OH) may be indicated in the event of any doubt arising as to an individual's fitness for the role in question.

## **25. Contract of employment**

- 25.1 The Employment Rights Act 1996 requires employers to provide employees with a written statement of the main terms and conditions of employment.
- 25.2 All employers should be aware that under The Employment Rights (Employment Particulars and Paid Annual Leave) (Amendment) Regulations 2018 and The Employment Rights (Miscellaneous Amendments) Regulations 2019, **all workers** (the definition of worker is broader than that of employee) **are entitled to be provided with specified contract documentation from the first day of their employment.**
- 25.3 The contract, either incorporating or accompanied by a statement of particulars, should include the following elements:
- employer's name

- employee's name
- date employment commenced (and date continuous service commenced, if earlier)
- whether the contract is
  - i. permanent;
  - ii. fixed term (to a specified date); or
  - iii. temporary (to a specified circumstance, such as provision of maternity cover); or
  - iv. (*as and when applicable*) still dependent on certain conditions (other than satisfactory completion of a probationary period) being met
- job title
- place of work
- remuneration, specifying scale or rate of pay (or the method of calculating this) and additionally specifying any additional benefits in kind
- method and frequency of payment
- hours (and days) of work (and whether these are likely to vary in future)
- details of any probationary period
- terms and conditions (including holiday and sickness absence entitlement and pay)
- details of any compulsory training (and whether this will be paid for by the employer)
- details of notice periods (both to and from the employer), including, if applicable, any different notice period within the probationary period)
- details of eligibility for statutory paid leave\* (such as maternity/paternity etc).

*\*This can be provided by means of signposting to another document with detailed information (such as a policy statement).*

25.4 Additional information, as detailed in the following clause, is required **either** to be included in the initial contract or statement of particulars supplied at commencement of employment **or** to be provided to the employee (or worker) no later than two months after the start of employment.

25.5 Such information, which can be provided either in a supplementary statement of particulars or by means of signposting to another document with detailed information (such as a policy statement) includes details of:

- pension arrangements
- any collective agreements
- any additional training which may be conditional on specified eligibility requirements
- disciplinary process (which should include reference to an appeal mechanism)
- grievance process (ditto).

25.6 Either the contract itself, or an accompanying statement of particulars, should also make appropriate reference to the school's privacy notice (detailing the relevant justification for processing of identifiable data relating to the employee) and clarify where this is to be found.

## **26. Feedback to unsuccessful candidates**

26.1 There is no requirement to give unsolicited feedback to unsuccessful candidates. Providing constructive feedback can be a difficult and delicate task, and it should only be undertaken in response to a specific request.

- 26.2 In giving feedback it is appropriate to 'describe' rather than to 'evaluate', by making specific reference to what happened during the process of assessment (such as interview or task performance) which is the subject of the feedback. In this way attention can be drawn to areas which made a specific impression (whether favourable or unfavourable) on the members of the interviewing panel.
- 26.3 Any feedback given should avoid making value judgments. Feedback should be specific and should avoid generalities. It is better to be positive (where possible) in preference to being overly critical, whilst reminding the candidate of the key criteria which the panel were looking for. This may be achieved by quoting examples of what the candidate may have said, or written, and how this affected the outcome.
- 26.4 It is good practice (and may be important for future reference) to record all feedback that has been provided.

## **27. Induction**

- 27.1 The purpose of induction is to ensure the effective integration of staff into or across the organisation to the benefit of both parties. The induction programme must be designed to provide all the information that new employees need, and are able to assimilate, without overwhelming them or diverting from the essential process of integration into a team.
- 27.2 The length and nature of the induction process will depend on the complexity of the job and the background of the (new) employee. However, induction training should, as a minimum, always include the organisation's safeguarding and child protection processes and procedures.
- 27.3 It is important to keep a checklist of the areas of induction training received, ideally countersigned by the individual. This helps to ensure all employees receive all the information they need. This checklist can be a vital source of reference later in employment – for example to check that an employee has been briefed on policies, or to produce evidence of training in the event of a health and safety inspection.

## **28. Documentation**

- 28.1 For each recruitment vacancy a file should be created which will contain:
- job description
  - person specification
  - advertisement
  - shortlisting matrix
  - interview assessment sheet
  - application forms received
  - references obtained
  - any other correspondence relating to the vacancy
  - recruitment summary sheet.
- 28.2 Each vacancy should have its own set of records, which should be retained for a maximum of 6 months before being deleted in accordance with the school's Data Protection policy.
- 28.3 Any documents relating to the successful applicant will routinely be transferred to the (new) employee's personnel file which should be created as soon as the appointment has been confirmed.

- 28.4 In relation to references received from third parties, ICO recommendation is that these should be deleted after a period of (at most) 12 months as these contain identifiable data and there is no justification for keeping them any longer than the maximum length of an employee's probationary period.
- 28.5 Notwithstanding the preceding clause, although the references themselves should be deleted as suggested, a record should always be kept (for the duration of the individual's employment) to the effect that references have been received, found to be satisfactory, retained for the recommended period and then destroyed in accordance with data protection guidelines. This record should **not**, however, identify the individuals who provided the references.

## **29 Recruitment of Volunteers**

29.1 Safer recruitment techniques apply for volunteers as much as for paid employees. Anyone wishing to volunteer in school will be asked to complete a short version of the school's application form (Appendix 12) and to provide two references. Prospective volunteers would be asked to commit for a minimum of one academic year in recognition of the time required to provide training and carry out the appropriate checks. Governors will also be asked to have the appropriate DBS check every three years, following the school's Safeguarding procedures.

## **30 Other policies and procedures**

- 28.6 This policy is supported by the following policies and procedures:
- Data Protection Policy
  - Equality Policy
  - Safeguarding Policy

## Appendix 1: Recruitment process

1. Review the vacant post	This may take longer for a new post
2. Plan selection process	
3. Book venue if necessary	Ensure this is booked as early as possible. Consider what / who is involved in any administration / refreshment provision
4. Review / create job description	Ensure that a new / significantly amended job description goes through the job evaluation process (this may add significantly to the time required)
5. Review / create person specification	These may take longer for a new post and should be sent with job description where evaluation is required
6. Design advertisement	
7. Arrange for advertisement to be placed	
8. Advertisement of post	Leave a minimum of two weeks from date of advertisement to closing date
9. Decide content of applicant pack	Include all relevant information including safeguarding information and (where indicated) reference to DBS and criminal record checks etc although these should only be requested once a conditional offer of employment has been made
10. Prepare and issue applicant packs	
11. Closing date	Two weeks minimum from date advertisement placed
12. Prepare application forms for selection panel	To include creation and copying of shortlisting grid
13. Shortlisting	Ensure adequate time allowed to arrange for panel to be available for this process
14. Request references	Where permission given, these ideally to be requested at least five days before they are required at interview.
15. Invite candidates to interview	Allow adequate time if invitation issued by post. Ensure any reasonable adjustments have been identified and are capable of being met prior to interview date
16. Receive references prior to interview date	Where the candidate withholds permission, references may only be requested once a conditional offer of employment has been made
17. Prepare all materials for interview / assessment process	Consider reasonable adjustments
18. Selection of successful candidate	Issue conditional offer of employment
19. Notify candidates of outcome	
20. Pre-recruitment checks	Request as soon as successful candidate accepts the conditional offer of employment
21. Feedback to candidates, where requested	A member of the selection panel needs to be available to provide feedback, as and when requested by candidates
22. Arrange induction	Notify other members of staff involved in the process and gather necessary paperwork.

## Appendix 2: Job description

### Job description template

The information given on this job description is intended to provide an understanding and appreciation of the workload of this particular post and its purpose within the organisation.

The job description outlines main duties and responsibilities under broad headings only, as it is not possible to specify every item in detail.

**Post title:**

**Grade:**

**Prime objectives of the post:**

*Purpose of the job*

**Responsible to:**

*Post title of manager/supervisor*

**Responsible for:**

*Number, description and grades of staff directly supervised by postholder*

JOB TITLE	GRADE	NO. OF POSTHOLDERS

### Main duties and responsibilities

*Outline of main duties and responsibilities – no more than 10 duties should be itemised*

*Give a very brief summary/comment on the requirements re the following factors:*

## **Knowledge**

*Level/nature of knowledge required – the technical, specialist, procedural organisational knowledge required for the job: this could for instance include literacy, numeracy, knowledge of equipment, knowledge of concepts, ideas, cultures, theories, techniques, policies, procedures or practices. State any specific qualifications/skill levels that are essential for the post. Avoid specifying a requirement for a certain length of experience unless it can be objectively justified, in other words where it is a specific requirement in order to ensure that the job is carried out properly.*

## **Skills**

*Level/nature of skills required – can include analytical, problem solving, judgmental skills; creative, developmental skills (re dealing with/handling people, design, policies, procedures); planning and strategic skills, interpersonal and communication skills, advisory, persuasive or negotiating skills (oral and written); physical skills – co-ordination, dexterity and degree of speed and/or precision. State any personal contacts whom the postholder will be expected to communicate with during the course of their work.*

## **Initiative**

*The degree of responsibility of the postholder for taking decisions during the course of exercising the duties of the post; scope for use of initiative and/or independent actions; level/nature of supervision of the postholder, degree of direction given – by supervisors and/or by policies/procedures/guidelines.*

## **Demands**

*Level of demand placed on the postholder – physical demand, mental effort and concentration, emotional demands arising from the nature of the work; the frequency and on-going nature of demands on the postholder.*

## **People responsibilities**

*Responsibility for and/or impact on individuals or groups, public, clients, customers etc, but not staff managed or supervised by the postholder. Emphasis is on the direct impact of the postholder on the well-being of individuals/groups during the course of undertaking the duties of the post.*

## **Resources**

*Direct responsibility for financial resources (budgets, income, cash – indicating size of budget etc) and/or physical resources (equipment, stocks, premises), including the levels of responsibility involved, for example frequency of responsibilities and whether contributory, shared, direct or sole responsibility.*

## **Conditions**

*Is there any exposure to disagreeable, uncomfortable or hazardous working conditions arising from the working environment or from work with people?*

### Appendix 3: Person specification

**XX School**

**Post:**

**Pay Range:**

Achievement of criteria – key to identification:

A = Application I = Interview E = Exercise R = Reference

Qualifications/Training	Essential	Desirable	How identified
			A
			A
			A

Experience	Essential	Desirable	How identified
			A/I/R
			A/I/R
			A/I/R

Knowledge and Skills	Essential	Desirable	How identified
			A/I/E
			A/I/E
			A/I/E

Initiative	Essential	Desirable	How identified
			A/I/R
			A/I/R
			A/I/R

## Appendix 4: Example reference proforma

### Request

School Headed Paper

Date

Dear XX

#### REFERENCE REQUEST FOR: XX

Your name has been given as a referee and we would be grateful if you could complete the attached reference proforma and return by email to *XX (named person and email address)* as soon as possible – or by *XX (date)* – to aid the recruitment process.

Please give your objective assessment of the candidate's suitability for the post, details of which are attached.

*Please feel free to mention any particular strengths and/or weaknesses you consider the candidate has (in relation to the post applied for) as well as any other factors which you think may be of relevance.*

All information provided should be accurate and factual to the best of your knowledge.

Though this reference is regarded as confidential, it will be shared with other recruiting managers and may be shared with the candidate on request.

Thank you in anticipation for your kind assistance in this matter.

Yours sincerely

Name  
Headteacher

*A reference must be a true, accurate and fair reflection of the job applicant. When opinions are provided, they should be based on facts, and it may be unwise to request (or place any reliance on) subjective assessments from a referee. Accordingly, schools may wish to amend (or omit) the wording of the sentence which appears above in red.*

## **PRE-INTERVIEW REFERENCE FORM**

For completion by employers or character referees\*

*\*It is appreciated that character referees may not be able to fully complete all elements of this form.*

*Please note that in providing this reference you are giving consent for this information to be held by the prospective employer in the candidate's/employee's personnel file which, in accordance with legislation including the Data Protection Act 2018 and the General Data Protection Regulation (GDPR), may be made available to the individual, on application, at any time whilst retained by the organisation identified above.*

**APPLICANT NAME:**

**POSITION APPLIED FOR:**

**INITIAL ASSESSMENT DATE:**

### **1. Job details:**

*In what capacity (and for how long) have you known the person?*

*What is the applicant's current/most recent position with you?*

*Please summarise (briefly) the main duties and key responsibilities of the applicant's current or previous post with you:*

*Period in your employment:*

*Grade/salary when employed by you:*

### **2. Vacancy applied for:**

*I should be grateful if you would comment (objectively) on how the candidate meets the criteria for this post in terms of relevant skills, knowledge, and experience:*

### **3. Timekeeping:**

*Do you regard the applicant's time keeping as satisfactory?*

Yes / No

#### **4. Capability:**

*Has the applicant been subject to formal capability procedures\* within the last 2 years?*

Yes / No

*If yes, please provide details of the concerns which gave rise to this and the duration of the proceedings and their outcome:*

*\*If the previous employer is a maintained school, its governing body must respond in writing to confirm whether that person has been the subject of capability procedures within the above period and, if so, the details of the concerns which gave rise to this, along with the duration of the proceedings and their outcome. These provisions do not apply to academies established prior to April 2013 although it is a specified requirement in new funding agreements from that date onwards. Academies can of course ask for relevant information about a teacher's capability as part of their appointment processes. (Extract from 'Staffing and Employment Advice for Schools' 2018.)*

#### **5. Discipline:**

*Has the applicant been subject to any formal disciplinary procedures for which a sanction is current?*

Yes / No

*If yes, please provide details of the sanction (eg first or final written warning) and the reason for this:*

*If the applicant has left your organisation was this as a result of dismissal?*

Yes / No

*If yes, please give full details:*

#### **6. Vulnerable groups – children, young people and adults:**

*Do you know of any reason why the applicant should not work with any vulnerable groups?*

Yes / No

*If yes, please give specific details of your concerns:*

***The following question is to be completed only where the previous employment has involved working with children or young people***

*Please provide full details of any allegations or concerns involving the applicant's previous employment that related to the safety and welfare of children, young people or vulnerable adults, or behaviour towards children or young people, and the outcome of those concerns (ie whether the allegations or concerns were investigated, the conclusion reached, and how the matter was resolved):*

**7. Additional commentary:** (optional)

*Should you wish to record any additional (objective) comments in relation to this candidate which would be useful to an employer please use the space below:*

.....  
**NAME OF REFEREE:**

**JOB TITLE:**

**ORGANISATION:**

**DATE:**

**THANK YOU FOR TAKING THE TIME TO COMPLETE THIS REFERENCE.**

**PLEASE RETURN BY EMAIL BEFORE **XX (date)** TO:**

## Appendix 5: Checks in relation to the right to work in the United Kingdom

All employers in the UK have a responsibility to prevent illegal working. You do this by conducting simple right to work checks before you employ someone, to make sure the individual is not disqualified from carrying out the work in question by reason of their immigration status.

The Home Office document '**Employer's guide to right to work checks**' (dated 18 October 2023), available online, advises an employer how to conduct a right to work check and sets out the specific actions that can be taken to prevent liability for having to pay a civil penalty for employing a person who is not permitted to do the work in question (this is called 'establishing a statutory excuse against liability for a penalty').

If you are found to be employing someone illegally and you have not carried out the prescribed checks, you may face sanctions including a civil penalty of up to £20,000 per illegal worker or a criminal conviction carrying a prison sentence of up to five years and an unlimited fine.

### How to conduct a right to work check

You must conduct a right to work check **before** you employ a person to ensure they are legally allowed to do the work in question for you. If an individual's right to work is time-limited, you should conduct a follow-up check shortly before it is due to come to an end.

You may face a civil penalty if you do not carry out a check on someone you have assumed has the right to work for you but is found to be an illegal worker. However, you should provide every opportunity to enable an individual to prove their right to work.

To ensure that you do not discriminate against anyone, you should be consistent in how you conduct right to work checks on all prospective employees, including British citizens. You should ensure job selections are made on the basis of suitability for the post, and that no prospective job applicants are discouraged or excluded, either directly or indirectly, because of known or perceived protected characteristics.

This means you should not check only the status of those who appear to you likely to be migrants. Neither should you make assumptions about a person's right to work in the UK or their immigration status on the basis of their colour, nationality, ethnic or national origins, accent, surname or the length of time they have been resident in the UK. If you do so, you may be acting in a discriminatory manner, and it could be used as evidence against you in proceedings under the Equality Act 2010.

A statutory excuse is an employer's defence against a civil penalty. In order to establish a statutory excuse against a civil penalty in the event that an employee is found to be working illegally, employers must do one of the following before the employee commences employment:

1. a manual right to work check
2. a right to work check using IDVT via the services of an IDSP (to be used only for British and Irish citizens)
3. a Home Office online right to work check (non-British and non-Irish citizens)

Conducting any of these checks as set out in this guidance and in the code of practice will provide you with a statutory excuse. Further details are beyond the scope of this policy but will be found in the relevant guidance, although a list of acceptable documents (to be used in connection with this process) is provided here for ease of reference.

## Acceptable documents

The documents you may accept from a person to demonstrate their right to work are set out in two lists – List A and List B below.

### List A – acceptable documents for manual right to work checks to establish a continuous statutory excuse

This constitutes the range of documents you may accept for a person who has a continuous right to work in the UK (including British and Irish citizens). If you conduct the right to work checks correctly before employment begins, you will establish a continuous statutory excuse for the duration of that person's employment with you. You do not have to conduct any further checks on this individual.

1. A passport (current or expired) showing the holder is a British citizen or a citizen of the UK and Colonies having the right of abode in the UK.
2. A passport or passport card (in either case, whether current or expired) showing that the holder is an Irish citizen.
3. A document issued by the Bailiwick of Jersey, the Bailiwick of Guernsey or the Isle of Man, which has been verified as valid by the Home Office Employer Checking Service, showing that the holder has been granted unlimited leave to enter or remain under Appendix EU(J) to the Jersey Immigration Rules, Appendix EU to the Immigration (Bailiwick of Guernsey) Rules 2008 or Appendix EU to the Isle of Man Immigration Rules.
4. A current passport endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has a right of abode in the UK, or has no time limit on their stay in the UK. <sup>1</sup>
5. A current Immigration Status Document issued by the Home Office to the holder with an endorsement indicating that the named person is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK, together with an official document giving the person's permanent National Insurance number and their name issued by a government agency or a previous employer.
6. A birth or adoption certificate issued in the UK, together with an official document giving the person's permanent National Insurance number and their name issued by a government agency or a previous employer. <sup>2</sup>
7. A birth or adoption certificate issued in the Channel Islands, the Isle of Man or Ireland, together with an official document giving the person's permanent National Insurance number and their name issued by a government agency or a previous employer.
8. A certificate of registration or naturalisation as a British citizen, together with an official document giving the person's permanent National Insurance number and their name issued by a government agency or a previous employer.

<sup>1</sup> definition includes those with a document which shows that the holder is entitled to readmission to the UK (RUK endorsement)

<sup>2</sup> definition includes a full birth certificate issued by a UK diplomatic mission (British Embassy or British High Commission)

**List B Group 1 – documents where a time-limited statutory excuse lasts until the expiry date of permission to enter or permission to stay (at which point a follow-up check should be carried out)**

1. A current passport endorsed to show that the holder is allowed to stay in the UK and is currently allowed to do the type of work in question.<sup>3</sup>
2. A document issued by the Bailiwick of Jersey, the Bailiwick of Guernsey or the Isle of Man, which has been verified as valid by the Home Office Employer Checking Service, showing that the holder has been granted limited leave to enter or remain under Appendix EU to the Jersey Immigration Rules, Appendix EU to the Immigration (Bailiwick of Guernsey) Rules 2008 or Appendix EU to the Isle of Man Immigration Rules.
3. A current immigration status document containing a photograph issued by the Home Office to the holder with a valid endorsement indicating that the named person may stay in the UK, and is allowed to do the type of work in question, together with an official document giving the person's permanent National Insurance number and their name issued by a government agency or a previous employer.

<sup>3</sup> definition includes a current passport endorsed with a stamp showing an individual has been granted leave to enter and there are no work-related conditions attached. If, under the conditions of the individual's leave, work was restricted or prohibited the endorsement placed in the individual's passport would explicitly set that out as a condition

**List B Group 2 – documents where a time-limited statutory excuse lasts for six months (at which point a follow-up check should be carried out)**

1. A document issued by the Home Office showing that the holder has made an application for leave to enter or remain under Appendix EU to the immigration rules on or before 30 June 2021 together with a Positive Verification Notice from the Home Office Employer Checking Service.
2. A Certificate of Application (digital or non-digital) issued by the Home Office showing that the holder has made an application for leave to enter or remain under Appendix EU to the immigration rules (known as the EU Settlement Scheme), on or after 1 July 2021, together with a Positive Verification Notice from the Home Office Employer Checking Service.
3. A document issued by the Bailiwick of Jersey, the Bailiwick of Guernsey or the Isle of Man showing that the holder has made an application for leave to enter or remain under Appendix EU(J) to the Jersey Immigration Rules or Appendix EU to the Immigration (Bailiwick of Guernsey) Rules 2008 or Appendix EU to the Isle of Man Immigration Rules, together with a Positive Verification Notice from the Home Office Employer Checking Service.
4. An Application Registration Card issued by the Home Office stating that the holder is permitted to take the employment in question, together with a Positive Verification Notice from the Home Office Employer Checking Service.
5. A Positive Verification Notice issued by the Home Office Employer Checking Service to the employer or prospective employer, which indicates that the named person may stay in the UK and is permitted to do the work in question.

## 1 Conducting a manual document-based right to work check

There are three basic steps to conducting a manual document-based right to work check. In order to establish a statutory excuse you need to complete all three steps before employment commences to ensure you have conducted a check in the prescribed manner.

### Step 1: Obtain

You must obtain **original** documents from either List A or List B of acceptable documents – see above.

### Step 2: Check

You must **check** that the documents are genuine and that the person presenting them is the prospective or existing employee, the rightful holder and allowed to do the type of work you are offering.

You must check that:

1. photographs and dates of birth are consistent across documents and with the person's appearance in order to detect impersonation;
2. expiry dates for permission to be in the UK have not passed;
3. any work restrictions to determine if they are allowed to do the type of work on offer (for **students** who have limited permission to work during term-times, you **must** also obtain, copy and retain details of their academic term and vacation times covering the duration of their period of study in the UK for which they will be employed);
4. the documents are genuine, have not been tampered with and belong to the holder; and
5. the reasons for any difference in names across documents can be explained by providing evidence (eg original marriage certificate, divorce decree absolute, deed poll). These supporting documents must also be photocopied and a copy retained.

### Step 3: Copy

You must make a **clear copy** of each document in a format which cannot manually be altered and retain the copy securely: electronically or in hardcopy. You must also retain a secure record of the date on which you made the check. **Simply writing a date on the copy document does not in itself confirm that this is the actual date when the check was undertaken. If you write a date on the copy document, you must also record that this is the date on which you conducted the check.**

You must copy and retain copies of:

1. **Passports:** any page with the document expiry date, the holder's nationality, date of birth, signature, leave expiry date, biometric details, photograph and any page containing information indicating the holder has an entitlement to enter or remain in the UK (visa or entry stamp) and undertake the work in question (the front cover no longer has to be copied).
2. **All other documents:** the document in full, including both sides of an Immigration Status Document and an Application Registration Card.

**All copies of documents taken should be kept securely for the duration of the worker's employment and for two years afterwards. The copy must then be securely destroyed.**

It is recommended by the Home Office that employers use their 'Right to Work Checklist' to ensure that they have correctly carried out all the appropriate steps; or the online interactive tool which will take you through the process by asking you a series of questions.

## Checking the validity of documents

When you are checking the validity of the documents, you should ensure that you do this in the presence of the holder. This can be a physical presence in person or via a live video link. In both cases you must be in physical possession of the original documents. For example, an individual may choose to send their documents to you by post to enable you to conduct the check with them via live video link. **You may not rely on the inspection of the document via a live video link or by checking a faxed or scanned copy of the document.**

The employer has responsibility for checking the validity of the document. Whilst this may be delegated to members of staff (including agency workers engaged by the employer and working under their control) the employer will remain liable for the penalty in the event the individual is found to be working illegally and the prescribed check has not been correctly carried out. The employer may not delegate this responsibility to a third party where this involves a manual check of original documents. Whilst a third party may be used to provide support in terms of technical knowledge or specialised equipment to prevent the employment of illegal workers, the responsibility for performing the check (in order to obtain a statutory excuse from a civil penalty) will remain with the employer.

If the employer is supplied with a false document, they will only be liable for a civil penalty if it is **reasonably apparent** that it is false. This means that a person who is untrained in the identification of false documents, examining the document in question carefully, but without the use of technological aids, could reasonably be expected to realise that the document in question is not genuine.

Employers may wish to read the online guidance about recognising fraudulent identity documents, which can be found online under 'Guidance on examining identity documents'.

As an employer you can also compare identity and travel documents against the images which are published on [Council of the European Union - PRADO - Home \(europa.eu\)](https://prado.europa.eu/). These are archives of identify and travel documents.

If someone presents a false document, or a genuine document which does not belong to them, you should use the following link to report the individual to the Home Office: [Report an immigration or border crime - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/urls/report-an-immigration-or-border-crime) or call the Employer Enquiry helpline on 0300 790 6268 (Monday to Thursday, 9am to 4:45pm; Friday 9am to 4:30pm).

## Retaining evidence

You must keep a record of every document you have checked. This can be a hardcopy or a scanned copy in a format which cannot be manually altered, such as a jpeg or pdf document. You should keep the copies securely for the duration of the person's employment and for a further two years after they stop working for you. You should also be able to produce these document copies quickly in the event that you are requested to show them to demonstrate that you have performed a right to work check and retain a statutory excuse.

You must also make a note of the date on which you conducted the check. This can be by either making a dated declaration on the copy or by holding a separate record, securely, which can be shown to the appropriate authority upon request. This date may be written on the document copy as follows: **'the date on which this right to work check was made: [insert date]'**. Alternatively a manual or digital record which includes this information may be made at the time you conduct and copy the documents. You must be able to show this evidence if requested to do so in order to demonstrate that you have established a statutory excuse. You must repeat this process in respect of any follow up check. You may face a civil penalty if you do not record the date on which the check was performed.

Simply writing a date on the copy document does not, in itself, confirm that this is the actual date when the check was undertaken.

## **2 A right to work check using IDVT via the services of an Identity Service Provider (IDSP)**

Employers can use Identity Document Validation Technology (IDVT) via the services of an IDSP to complete the digital identity verification element of right to work checks for British and Irish citizens who hold a valid passport (including Irish passport cards).

If you use the services of an IDSP for digital identity verification, holders of valid British or Irish passports (or Irish passport cards) can demonstrate their right to work using this method. This will provide you with a continuous statutory excuse. It is your responsibility to obtain evidence of the IDVT check from the IDSP. You will only have a statutory excuse if you reasonably believe that the IDSP has carried out their checks in accordance with this guidance.

You must not treat less favourably those who do not hold a valid passport, or do not wish to prove their identity using an IDSP. You must provide individuals with other ways to prove their right to work and should carry out a manual document-based right to work check in these circumstances.

For a detailed guide on how to complete a right to work check, using an IDSP, please refer to Annex C of the Home Office guidance.

### **Basic steps to conducting a RTW check using an IDSP:**

- IDSPs can carry out digital identity verification to a range of standards or levels of confidence. The Home Office recommends that employers only accept checks via an IDSP that satisfy a minimum of a Medium Level of Confidence. A list of certified providers is available online for you to choose from. It is not mandatory for you to use a certified provider; you may use a provider not featured within this list if you are satisfied that they are able to provide the required checks.
- Satisfy yourself that the photograph and biographic details (for example, date of birth) on the output from the IDVT check are consistent with the individual presenting themselves for work (ie the information provided by the check relates to the individual and they are not an imposter).
- You must retain a clear copy of the IDVT identity check output for the duration of employment and for two years after the employment has come to an end.

Should you be found to be employing individuals without their identity and eligibility being verified correctly in the prescribed manner, you will not have a statutory excuse in the event the individual is found to be working illegally by reason of their immigration status. The employer remains liable for any civil penalty if there is no statutory excuse.

### **3 Conducting a Home Office online right to work check**

An online right to work check will provide you with a statutory excuse against a civil penalty in the event of illegal working involving the subject of the check. You can do an online check by using the appropriate online service.

It will not be possible to conduct an online right to work check in all circumstances, as not all individuals will have an immigration status that can be checked online. The online right to work checking service sets out what information you will need. In circumstances in which an online check is not possible, you should conduct the manual check.

Currently, the online service supports checks for a range of individuals depending upon the type of immigration documentation they are issued with. The digital proof of immigration status forms part of the Home Office move towards of UK immigration system that is digital by default.

Some individuals have been issued with an eVisa and can only use the online service to prove their right to work.

Biometric Residence Card (BRC), Biometric Residence Permit (BRP) and Frontier Worker Permit (FWP) holders are also only able to evidence their right to work using the Home Office online service. This means that you cannot accept or check a physical BRC, BRP or FWP as proof of right to work.

There are three basic steps to conducting an online right to work check

Step 1: Use the Home Office online right to work checking service in respect of an individual and only employ the person, or continue to employ an existing employee, if the online check confirms they are entitled to do the work in question.

Step 2: Satisfy yourself that any photograph on the online right to work check is of the individual presenting themselves for work.

Step 3: Retain a clear copy of the response provided by the online right to work check (storing that response securely, electronically or in hardcopy) for the duration of employment and for 2 years afterwards.

**Additional information in relation to this topic, including reference to ‘frequently asked questions’, can be found online, but in the event of ongoing uncertainty an Employer Enquiry helpline can be accessed on 0300 790 6268.**

## Appendix 6: Pre-employment Disclosure and Barring Service checks

Those members of staff who undertake, or initiate, DBS and/or other pre-employment checks on employees and potential employees will need to determine the type and extent of such checks, bearing in mind what can be justified in terms of the employee's position. In many instances, this will depend on whether the employee will be engaging in regulated activity.

For **all** new employees, schools are required to obtain (via the applicant) an enhanced DBS certificate (including barred list information, for those who will be engaging in regulated activity) unless a previous certificate is brought forward from employment in another school in England within the last three months.

Details regarding the procedure for applying for the appropriate level of disclosure should be forwarded to the successful applicant for the position along with the conditional offer of appointment.

### DBS definition of regulated activity

Regulated activity refers to certain roles carried out by applicants in relation to children and/or vulnerable adults. It covers various types of activities which, by their nature, would entitle an individual to an enhanced DBS check with applicable barred list checks (there are two separate barred lists which contain information of people barred from working with, respectively, children and vulnerable adults).

Activity relating to children is regulated if it involves unsupervised activities: teaching, training, instruction, care for or supervision of children, or providing advice/guidance on well-being, or driving a vehicle only for children.

An enhanced DBS check is the highest level of criminal record check available and will detail both spent and unspent convictions, as well as any cautions, warnings or reprimands the applicant may have received.

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

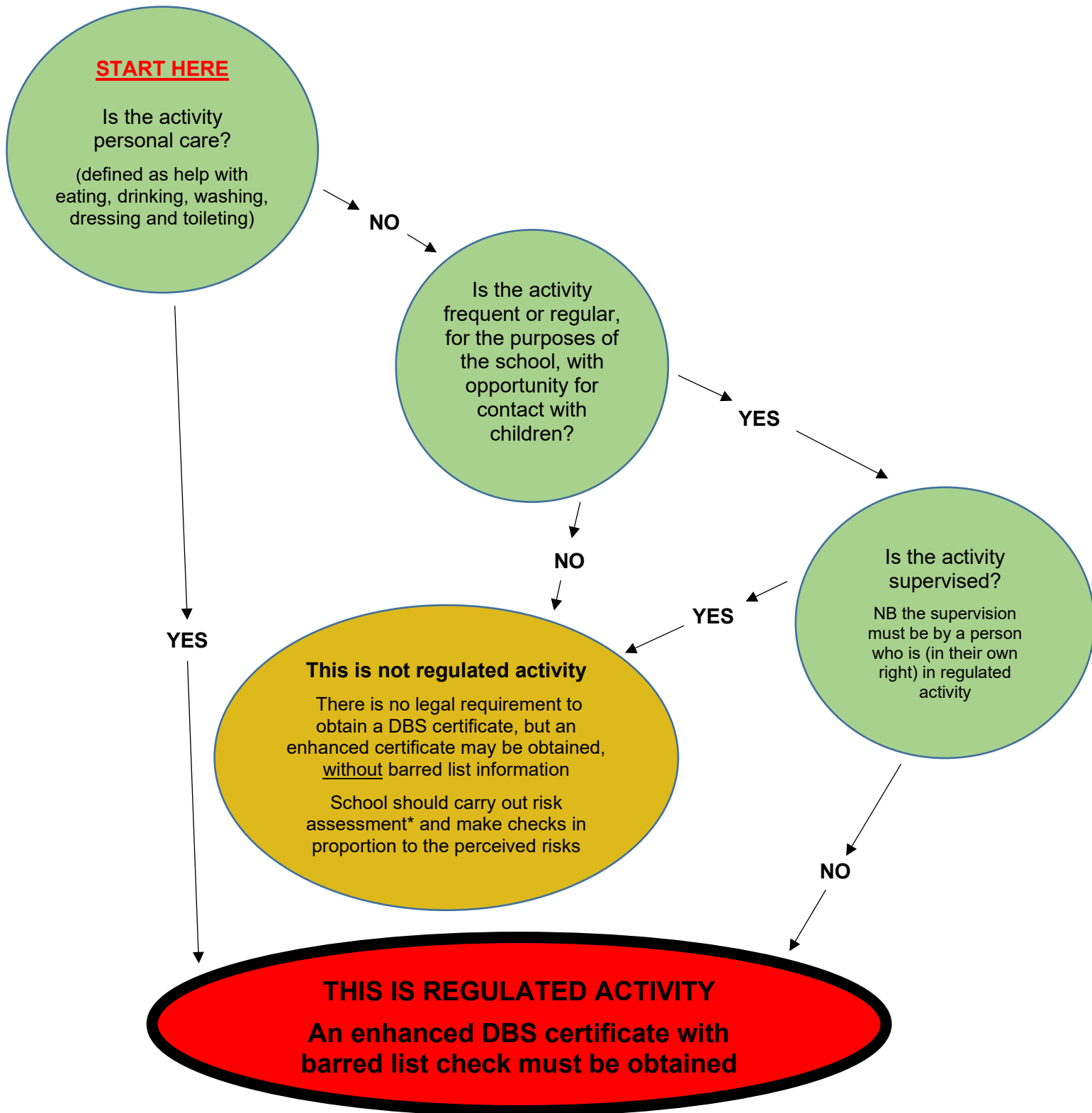
- for newly appointed staff who are engaging in regulated activity, pending the receipt of an Enhanced Certificate with Barred List information from the DBS and where all other relevant checks have been carried out; or
- where an individual has worked in a post in a school or college that brought them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

## Appendix 7: Protocol for employing people with a criminal record

It is good practice to ensure that all job applicants who apply to the school for a position which requires a DBS check are provided, as part of the application process, with a copy of the school's protocol on employing people with a criminal record. This can be most easily effected either by incorporating the text of the following protocol into the application form, or by including a copy as an appendix to that form.

1. As an organisation using the Disclosure and Barring Service (DBS) to assess applicants' suitability for positions of trust, the school complies fully with the DBS Code of Practice and undertakes to treat all applicants for positions in a fair manner. The school undertakes not to discriminate unfairly against any subject of a Disclosure on the basis of conviction or other information revealed.
2. Criminal records will only be taken into account for recruitment purposes when the conviction is relevant. Unless the nature of the work demands it, applicants for positions within the school will not be asked to disclose convictions which are 'spent' under the Rehabilitation of Offenders Act 1974. Having an unspent conviction will not necessarily bar applicants from employment. This will depend on the circumstances and background to an applicant's offence.
3. The school selects candidates for interview based on their skills, qualifications and experience relevant to the position applied for. For those positions within the school where an Enhanced or Standard Disclosure and or Barred List is required, job adverts will contain a statement that the successful applicant will be subject to a criminal record check from the Disclosure and Barring Service before the appointment is confirmed. It should be noted that details of criminal convictions should not be required to be provided on an application form. Shortlisted applicants should be requested to disclose any criminal convictions prior to interview and such applicants must be provided with information on where to obtain advice on the disclosure of a criminal conviction and allowed sufficient time to seek such advice.
4. The school will ensure that staff involved in the recruitment process are provided with information and guidance in relation to the employment and fair treatment of ex-offenders and the Rehabilitation of Offenders Act 1974 and will, on request, provide a copy of the Disclosure and Barring Service Code of Practice to all applicants.
5. If the DBS check (which will only be requested once a conditional offer of employment has been made) reveals a trace, the school will ensure that an open and measured discussion takes place on the subject of any previous history that might be relevant to the position. Failure to reveal information that is directly relevant to the position sought could lead to withdrawal of an offer of employment.
6. Having a criminal record will not necessarily bar an applicant from working with the school. This will depend on both the nature of the position and the circumstances of the offence.

## Appendix 8: Vetting checks on volunteers



\*Risk assessment (which should **invariably** be documented on SCR) should take into consideration (apart from the precise nature of their engagement with, and activity carried out for, the school) whether the individual is already known to the school. A person who has no previous connection with the school **and** who cannot provide acceptable references from elsewhere is relatively high risk and although there is no **statutory** reason why such a person should be required to apply for an enhanced DBS certificate the school should nonetheless consider whether their background might be felt to constitute an unacceptable risk in the absence of further enquiry.

## Appendix 9: Safeguarding declarations

Different categories of staff may be required to undergo specific pre-employment checks, or to make relevant declarations, in relation to their **precise role** within the school. It is **not** appropriate to ask all members of staff to complete declarations that are more extensive than required by the regulations, as possession of such identifiable data, without adequate justification, potentially represents a breach of data protection legislation.

Those members of staff who are subject to the **2018 update to the Childcare (Disqualification) Regulation 2009** (defined below) should be requested to complete **Declaration A** whereas all other members of staff who are deemed to be in **regulated activity** (generally interpreted as any person permanently employed by, and working on the premises of, a school) but who are not subject to the 2018 update to the Childcare (Disqualification) Regulation 2009 should be requested to complete **Declaration B**.

Staff who should complete Declaration A are those who are employed, and/or provide childcare, in either early years or later years (although this no longer extends to the provision of **education** (as opposed to childcare) to children in later years).

- early years means from birth until 1st September following a child's fifth birthday (in other words, up to and including reception age)
- later years means children under the age of 8.

*Staff subject to/not subject to the above regulation:*

	<u><i>During school hours</i></u>	<u><i>Outside school hours</i></u>
<i>Nursery/reception age or younger</i>	<i>Subject</i>	<i>Subject</i>
<i>Older than reception age up to age 8</i>	<i>Not Subject</i>	<i>Subject</i>
<i>8 years or older</i>	<i>Not Subject</i>	<i>Not Subject</i>

Staff who are directly concerned in the **management** of early or later years provision are also subject to the legislation. This will necessarily include the headteacher; it may also include other members of the school's leadership team and any manager, supervisor, leader or volunteer responsible for day-to-day management of such provision.

Staff who are **not** subject to the above legislation include (but may not be limited to) caretakers, cleaners, transport escorts, catering and office staff. (Any workers who are not employed to directly provide childcare are not subject to the above legislation.)

## Declaration A

**(for staff who are subject to the 2018 update to the Childcare (Disqualification) Regulation 2009)**

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

In order to **help us process your application/confirm your appointment (delete as applicable)** we require the following declaration to be completed.

**I declare that I, .....**

(please print your full name)

- am not on a relevant barred list (a Department for Education list of people whose employment has been barred or restricted on grounds of misconduct or on medical grounds)
- am not disqualified from work with children
- am not subject to sanctions imposed by a regulatory body (for example the DfE)
- have no criminal convictions, cautions or bind overs, either in the UK or abroad
- have never had any of my own children taken into care, nor have they been the subject of a child protection order or court order
- have never had a registration cancelled in relation to childcare or children's homes and have never been disqualified from private fostering.

**I also undertake to inform the headteacher/governing body immediately in the event of any change in circumstances which would render one or more of the above bullet points applicable at any point during the duration of my employment with the school/academy.**

Signed: ..... Dated: .....

NB If you are unable to complete the declaration by confirming all of the above points, we ask that you do not sign the declaration but that you provide written details, which will be discussed with you in absolute confidence before any decision is made in relation to your employment by the organisation.

Any information of this nature should be provided to ..... **(named person)** in an envelope marked 'Strictly Private and Confidential'.

**Declaration B**

**(for staff who are not subject to the 2018 update to the Childcare (Disqualification) Regulation 2009)**

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

In order to **help us process your application/confirm your appointment (delete as applicable)** we require the following declaration to be completed.

**I declare that I, .....**

(please print your full name)

- am not on a relevant barred list (a Department for Education list of people whose employment has been barred or restricted on grounds of misconduct or on medical grounds)
- am not disqualified from work with children
- am not subject to sanctions imposed by a regulatory body (for example the DfE)
- have no criminal convictions, cautions or bind overs, either in the UK or abroad

**I also undertake to inform the headteacher/governing body immediately in the event of any change in circumstances which would render one or more of the above bullet points applicable at any point during the duration of my employment with the school/academy.**

Signed: ..... Dated: .....

NB If you are unable to complete the declaration by confirming all the above points, we ask that you do not sign the declaration but that you provide written details, which will be discussed with you in absolute confidence before any decision is made in relation to your employment by the organisation.

Any information of this nature should be provided to ..... **(named person)** in an envelope marked 'Strictly Private and Confidential'.

## Appendix 10: Shortlisting matrix

School name ..... Shortlisting Grid

The purpose of this grid is to ensure that all candidates have demonstrated their ability to fulfil the essential criteria identified in the Person Specification. It is also a means of recording the additional desirable qualities that the candidates will bring to the post.

Post title:								
Post reference:				Post grade:				
<b>Applicant number</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	
<b>Essential Criteria</b>	Tick if the criteria listed in the person specification as							
Experience								
Qualifications								
Skills								
Specific knowledge								
Training								
<b>Total</b>								
<b>Desirable Criteria</b>	Tick if the criteria listed in the person specification as							
Experience								
Qualifications/Skills								
Specific knowledge								
Training								
<b>Total</b>								
<b>Shortlisted (Y) (N)</b>								

Signed: ..... Date: .....

The criteria headings only are provided above and these should be replaced by the specific criteria for the post being reviewed.

### Appendix 11: Model interview grid

The purpose of this grid is to make a systematic and objective record of the interview process. The questions listed have been agreed in advance and are designed to test the criteria listed in the Person Specification and the Job Description.

<b>XX School Interview Grid</b>	
<b>Post title:</b>	<b>Post reference:</b>
<b>Candidate name:</b>	<b>Post grade:</b>

<b><i>Test or Exercise, for example Presentation</i></b>			
<b><i>Elements</i></b>	<b><i>Notes</i></b>	<b><i>Comments</i></b>	<b><i>Score</i></b>
Clarity of presentation	Were the messages clear and understandable?		
Logical sequencing	Was the presentation in a logical order?		
Appropriateness of content	Was the material appropriate to the task set?		
Timing	The candidates were allocated (10) minutes – how close was this presentation?		
Other observations, eg quality of slides or handouts			
<b>Section total</b>			

<b>Formal Interview</b>			
Questions (based on person specification)	Notes	Comments	Score
<b>Section total</b>			

Interviewer's signature: ..... Date: .....

**Appendix 12: Recruitment summary sheet**

**XX School**

**Applications received – list below the applications for the advertised post and complete all the boxes in the grid:**

<b>Surname</b>	<b>First Name / Initial</b>	<b>Date application received</b>	<b>Monitoring form received</b>	<b>Shortlisted</b>	<b>Successful</b>	<b>Reason for non-selection</b>

**Reason for non-selection**

- 1. Lack of appropriate experience**
- 2. Lack of relevant qualifications**
- 3. Inability to demonstrate professional or technical ability**
- 4. Poor interview performance**
- 5. Withdrawn application**
- 6. Medical grounds**
- 7. Unsatisfactory references**
- 8. Any other reason**