

# Safeguarding Guidelines for Recruitment and Training in Schools and Academies

**Blackpool Council**

The logo for Blackpool Council features the text "Blackpool Council" in a dark blue serif font. Below the text is a graphic element consisting of two horizontal, wavy lines in a light blue color, which appear to be stylized waves or a decorative underline.

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## Introduction

The Safeguarding of Children and Young People and the maintenance of public confidence is vital. Schools and Academies must demonstrate that they have robust and accurate safeguarding procedures in place relating to recruitment and pre-employment checks.

Our recruitment and selection procedures must deter, reject, or identify people who might abuse children or are otherwise unsuited to work with them.

We will provide and signpost appropriate training for Safeguarding, including the required refresher training. This training includes, but is not limited to:

- Safeguarding Training at various levels
- Online training / Safer Recruitment Training – which **must** be completed by Headteachers and the nominated Governor.

**These guidelines must be read in conjunction with the Department for Education publication Keeping Children Safe in Education (September 2016).**

The document can be accessed at <https://www.gov.uk/government/publications/keeping-children-safe-in-education--2>

# SAFEGUARDING IN RECRUITMENT

## PRE EMPLOYMENT CHECKS

**Part Three of the DfE document 'Keeping Children Safe in Education' entitled 'Safer Recruitment' provides comprehensive guidance relating to pre-employment checks and page numbers are referenced accordingly.**

Safeguarding children must be everybody's responsibility. Good Safeguarding practice therefore has to be built into routine procedures and practice. Nowhere is this more important than in the recruitment and vetting of people whose work brings them into contact with children.

It is an important part of the recruitment process to establish the ability and suitability of candidates to carry out the duties of the post for which they have applied.

In order to properly assess the successful candidate, it is therefore necessary to carry out pre-employment checks to compliment the information gathered at the selection and interview stage. These checks include:

- References
- Disclosure & Barring Service (DBS)
- Children's Barred List check
- Right to work in the UK (Asylum & Immigration)
- Qualifications
- Employment Health Needs Assessment
- Prohibition from Teaching check
- Disqualification by Association declaration (where applicable)

These checks are required for all employees but consideration must also be given to other 'workers', which include Governors, volunteers, agency staff or contractors working on sites where children or young people are educated or cared for.

### **Risk Assessments**

#### **Pre-Employment Risk Assessment**

Where HR become aware that an individual has commenced work or is going to commence work without completion of all the required checks, the Headteacher will be asked to authorise a Pre-Employment Risk Assessment form [Appendix 1](#). Guidance on how to complete a Pre-Employment Risk Assessment can be found in [Appendix 2](#)

**No individual should start work until, as a minimum, the following conditions are met:**

- DBS application form has been completed and submitted for processing
- Children's Barred List check has been completed by HR
- Identification documents have been verified
- Right to work in the UK has been verified
- Essential qualifications have been verified

Where a risk assessment is completed, the individual in question must be supervised at all times and therefore must never be left alone with children. The assessment must confirm the nature of the supervision which has been arranged and that the roles of the Headteacher, Line Manager, Supervisor(s) and the individual concerned are understood.

This must be reviewed at least every 2 weeks until the pre-employment checks are complete. A copy of the approved Pre-Employment Risk Assessment form must be sent to HR.

### **Post-Employment Risk Assessment**

There may be occasions where pre-employment checks are not completed within the required timescales despite monitoring and chasing. In these circumstances, the Headteacher and Chair of Governors will be advised and the option of completing a Post-Employment Risk Assessment [Appendix 3](#) may be suggested.

A Post-Employment Risk Assessment confirms that, after appropriate risk management considerations, the School/Academy would like the individual to be confirmed in post without the missing checks and are satisfied that the risk controls in place are sufficient to mitigate the risk on an ongoing basis.

### **Children’s Barred List (previously List 99 / ISA Barred List)**

The Children’s Barred List is a database of people who are barred from working in Regulated Activity with children. It is managed by the Disclosure and Barring Service and checked as part of a DBS check, where requested.

HR also have the facility to conduct a check of the Children’s Barred List separately, through the Teachers Pension’s website and will routinely complete this check for all newly appointed staff, as soon as the appointment paperwork is received, pending the result of the DBS check.

### **References**

The purpose of seeking references is to obtain objective and factual information to support the appointment decision and should always be sought and obtained directly from the referee. Employers should not rely on references or testimonials provided by the candidate, from family members and friends, or open references and testimonials, i.e addressed “To Whom It May Concern”.

For positions working with children or young people, references should be sought from all employers and voluntary placements over the past two years. If the applicant has not worked with children during the past two years, an additional reference should be obtained from the relevant employer of the last post where they worked with children, regardless of how long ago they were employed.

If a candidate for a teaching post is not currently employed as a teacher, it is also advisable to check with the school, college or local authority at which they were most recently employed, to confirm details of their employment and their reasons for leaving.

**Page 31 of KCSIE and page 17 of this document provides further guidance on references.**

### **Qualifications**

Where the position requires a professional qualification (such as for teaching) or where the Job Outline specifies a qualification as part of the essential criteria, the applicant will be required to produce their original certificate at interview. If the original certificate is unavailable, the applicant must obtain a certified copy of the document from the issuing establishment.

The original certificate should be examined, photocopied, signed and certified as a true copy of the original and forwarded to HR.

## **Identity Checks/Right to Work in the UK**

It is important to establish the true identity of all applicants at interview stage.

In addition, the Asylum & Immigration Act 1996 makes it a criminal offence to employ a person aged 16 or over who does not have the right to work in the UK. Schools/Academies are therefore also required to check if a potential employee has documentation confirming their entitlement to work in the UK (e.g. British Passport; European Economic Area Passport / Identity Card; a passport or other travel document endorsed to show that the holder is authorised to work in the UK; or a certificate of registration or naturalisation as a British Citizen).

If no passport is available there are a number of other documents that can provide evidence of the person's entitlement to work in the UK, such as a document providing the candidate's National Insurance number accompanied by a Full Birth Certificate (which includes the parent's names).

Where possible, photographic identification should be evidenced and HR must be provided with copies of the documents.

Please see [Appendix 4](#) for the full list of acceptable documents. Further guidance on assessing Right to Work in the UK can be found on the GOV.UK website.

## **Health checks (Employment Health Needs Assessment)**

Individuals must be cleared by Occupational Health as medically fit for the specific role they have been appointed to. The assessment will verify the candidate's mental and physical fitness to carry out their work responsibilities.

## **Prohibition Checks**

**Page 26 of KCSIE provides further guidance on Secretary of State Prohibition checks.**

### **Prohibition from Teaching**

As part of the pre-employment checks for Teachers, HR will access the Teacher Services' system online to check that the individual does not have any prohibition orders in place that prevent them from carrying out teaching work. The date that this check is completed is recorded on the Selima system and included on the monthly reports to Headteachers so that it can be added to the Single Central Record.

### **EEA Sanctions**

The Teacher Services' check undertaken by HR will also check whether the individual has been sanctioned in any of the EEA Member States.

### **Prohibition Checks for Teaching Assistants**

There is also a requirement to carry out Prohibition from Teaching checks on Teaching Assistants who may be called upon to carry out teaching duties, or hold a teaching qualification.

As it is not possible for HR to identify from the initial recruitment paperwork whether a Teaching Assistant will be expected to carry out the duties of a Teacher, the onus is therefore on the school/academy to notify their HR Recruitment Advisor that there is a potential that the individual may be used in a teaching capacity under the new regulations, so that HR can undertake the appropriate check.

### **Section 128 direction (Academies only)**

As stated on **page 26 of KCSIE**, a Section 128 direction prohibits or restricts a person from taking part in the management of an Academy. This includes management positions,

Governors and Trustees. The Teacher Services' check undertaken by HR will check whether there are any sanctions in place for relevant employees.

### **Disqualification under the Childcare Act 2006**

Schools and Academies need to undertake appropriate checks to ensure that staff working in childcare provision are not disqualified under the Childcare (Disqualification) Regulations 2009. Further information on the checks, including to which staff these regulations apply can be found in the statutory guidance found at:

<https://www.gov.uk/government/publications/disqualification-under-the-childcare-act-2006>

## **Disclosure and Barring Service checks (DBS)**

**Pages 22-25 of KCSIE provides further guidance on DBS checks required for individuals working in Schools/Academies.**

For most appointments, an enhanced DBS certificate, which includes barred list information, will be required, as the majority of staff will be engaging in Regulated Activity.

In summary, a person will be considered to be engaging in regulated activity if, as a result of their work, they:

- will be responsible, on a regular basis in a school or college, for teaching, training instructing, caring for or supervising children; or
- will carry out paid, or unsupervised unpaid, work regularly in a school or college where that work provides an opportunity for contact with children; or
- engage in intimate or personal care or overnight activity, even if this happens only once.

A more detailed description of regulated activity is provided on **page 24 of KCSIE**.

To help determine the level and workforce required for a DBS check, the flowchart found on **page 30 of KCSIE** and the DBS Eligibility Tool found at <https://www.gov.uk/find-out-dbs-check> can be consulted.

### **Checking identity documents**

An identification check is required as part of the DBS application process. A list of acceptable ID documents can be found at [Appendix 5](#). This checklist should be completed by the person verifying the identity documents and should be forwarded along with copies of the documents to HR, at the earliest opportunity.

### **Filtering of offences**

Certain spent convictions and cautions are 'protected' and will not be included on a DBS Disclosure. Guidance and criteria on the filtering of these cautions and convictions, along with further guidance on what offences will be shown on a DBS Disclosure, can be found on the Disclosure & Barring Service website ([www.gov.uk/government/publications/dbs-filtering-guidance](http://www.gov.uk/government/publications/dbs-filtering-guidance)).

### **Portability (re-use) of DBS Checks from external organisations**

Neither the DBS nor the Council endorse the use of portability, i.e. the re-use of a DBS check obtained for a position in one organisation and later used for another position in another

organisation. A DBS check carries no formal period of validity and reflects information that was available at the time of its issue only. Portability should therefore only be considered as part of an overall risk assessment process pending receipt of a new DBS check.

It is the policy of the Council that a new DBS Check will be requested for all new employees, unless the applicant is registered with the DBS Update Service.

### **The Update Service**

For an annual subscription of £13.00, applicants can subscribe to the Update Service via the DBS website. Volunteers can register their DBS certificate on the Update Service for free. Subscription allows an individual to have their DBS Certificate kept up-to-date and therefore take it with them from role to role, within the same workforce, where the same type and level of check is required.

An applicant can only join the Update Service at the time of applying for a DBS check, within 30 days of receiving their DBS certificate.

If an applicant has already subscribed to the DBS Update Service, and wishes to use an existing DBS check, they need to provide the relevant DBS certificate for inspection. The employer can then check it is the correct type and level of clearance and, with the applicant's consent, carry out an online Status Check to confirm it is still current and that no further information has been identified since it was issued.

### **Transferring a DBS clearance from one School/Academy to another**

There is no requirement to obtain another DBS check if, in the three months prior to their appointment, the applicant has worked in another School or Academy where the DBS clearance has been processed by Blackpool Council.

However the School/Academy may choose to request a new DBS check should they wish to do so.

### **DBS renewals for existing staff**

The law only requires DBS checks for staff at recruitment stage, and following that only if the employee has a break in service of more than three months. This includes casual staff and exam invigilators who have regular breaks in service. A new DBS should be requested in good time and be in place prior to the start of their next period of employment.

It is recommended that a new DBS clearance should also be requested in the following circumstances:

- Where an employee moves to a new post within the School, and they have not previously been DBS cleared (due to commencing employment before CRB checks were introduced);
- Where concerns are raised about the employee's suitability to work with children.

### **Overseas Police Checks**

**Page 33 of KCSIE provides guidance on additional checks required for individuals who have lived or worked outside the UK.**

At present the DBS does not have access to overseas criminal records or other relevant information as part of their service. It is therefore important to be aware of the limitations of applying for DBS checks for candidates who have not lived in the UK for very long, or at all.

To get a fuller picture of an employee's background, a request should be made for a criminal record check directly from the appropriate issuing country or UK Embassy. This is usually referred to as a "Certificate of Good Conduct".

Further information on the process can be found at:

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

Although there is no specific guidance around the circumstances when an overseas police check should be requested, HR's recommended approach is to request a check when an individual has lived overseas for more than 12 months in the last 10 years.

### **Obtaining the Disclosure**

Where a post requires a DBS check, it should be stated within the advert wording that the successful candidate will be required to undertake a DBS check.

Where candidates have indicated on their application form that they have a previous conviction, this will not be used as part of the short-listing criteria.

At interview, the interview panel should sensitively explore the circumstances of any convictions indicated on the application form.

The successful candidate will receive a written offer of employment, confirming that the appointment is conditional subject to receipt of DBS clearance and other pre-employment checks.

HR will facilitate the DBS application process, through an online provider and act as the countersignatory. Results are received by email and forwarded on to the School/Academy. Only the applicant will receive a copy of the DBS certificate.

Any criminal record information revealed on a DBS certificate must be referred to the council's DBS panel for consideration and a recommendation on suitability. It is important to recognise that this information is highly confidential and therefore must not be disclosed or shared with person's who do not need to see it as part of their duties.

Any photocopies taken of DBS certificates should be retained for no longer than is necessary, up to a maximum of 6 months.

### **The role of the Council's DBS Panel**

The DBS panel was established to provide fair and consistent recommendations on applicant suitability, based on the information revealed through a DBS check.

The role of the DBS Panel is to assess suitability for the role and to evaluate the relevance and implications of any offences. The Panel will consider the specific information in relation to the post applied for and will take into account:

- The type of offence(s) and sentence given
- The position applied for
- When the offence(s) occurred
- The age of the applicant at the time of the offence(s)
- Any pattern of offending behaviour
- Any mitigating circumstances
- The applicant's attitude towards the offences and any chance in circumstances

- Whether the applicant declared the offence(s)
- Whether the nature of the offence(s) presents a safeguarding risk

To ensure consistency, the decisions made by the panel will be recorded.

**The possible outcomes:**

**i. There is not sufficient information available to make a decision.**

The individual is written to, requesting that they attend a meeting with the DBS Panel to discuss the disclosure information in further detail.

If the individual is currently working for the organisation e.g. they are transferring to a post that requires a DBS Disclosure, the line manager is requested to undertake an employment risk assessment.

The individual attends a meeting with the DBS panel and further information is obtained to enable to panel to make an informed decision.

**ii. The conditional offer of employment is withdrawn or an investigation is initiated.**

After careful consideration of the full details, it may be decided that the matters are too serious and/or the candidate has not been able to provide the reassurance required.

If the risk to children or other vulnerable people, including employees, customers or clients is identified as unacceptably high, the offer of appointment will be withdrawn on this basis.

**iii. The candidate can be employed.**

Sufficient information has been received in order to allow the panel to make a decision. Approval is given for the candidate to commence in post (subject to all other pre-employment clearances being completed)

In all cases, the outcome of the meeting will be confirmed in writing to the Headteacher.

**Employees ongoing responsibility**

Existing employees have an ongoing duty to inform their manager and HR immediately after committing a criminal offence, or any other form of unacceptable conduct.

Where it is identified that a current employee has been convicted or cautioned, the relevance of this to their current post will need to be considered by the DBS Panel.

If there is relevance, the employee may be suspended from duty and the appropriate disciplinary procedures will be followed, which could result in dismissal of the employee.

All other matters will be considered under the appropriate School disciplinary procedure.

There may be a requirement to formally notify an outside regulatory body such as Ofsted or the Department for Education. If certain conditions are met, there may also be a legal requirement to make a referral to the Disclosure and Barring Service.

Further guidance and information on making a referral to the DBS can be found at <https://www.gov.uk/guidance/making-barring-referrals-to-the-dbs>

## VETTING ARRANGEMENTS FOR OTHER WORKERS

### Volunteers

**Pages 35 of KCSIE provides guidance on required checks for Volunteers.**

If the role to be performed by the volunteer brings them into regular, unsupervised contact with children, they are working in Regulated Activity and an Enhanced DBS check (which includes a Children's Barred List check) should be undertaken.

The Police Act 1997 (Criminal Records) Regulations 2002 defines a volunteer as:  
*"A person engaged in an activity which involves spending time, unpaid (except for travel and other approved out-of-pocket expenses), doing something which aims to benefit someone (individuals or groups) other than or in addition to close relatives."*

An applicant is only eligible for a free of charge volunteer DBS check where the role meets the above criteria. Students and individuals undertaking work placements are not entitled to a free of charge volunteer DBS check, as they do not meet the criteria.

It is also good practice to informally interview volunteers to assess their suitability, ask them to complete an application form and obtain references, as well as having a thorough training and induction process in place.

A new DBS check should be obtained if a volunteer has a break in volunteering of more than three months.

Volunteers should be encouraged to register their DBS certificate on the DBS Update Service, as subscription is free of charge for volunteers. The employer can then check that the certificate is still valid and up to date on the Update Service, should the candidate return to volunteering following a break.

### Supply Teachers – LYNN BARUGH TO REVIEW

Schools are advised to obtain Supply Teachers through the Blackpool Education Supply Service (BESS) as their safeguarding procedures have been approved by Blackpool Council. They also hold the quality kitemark from the Department for Education (DFE).

Should an adverse DBS disclosure be returned, the decision about whether to engage the individual is the responsibility of the HR Safeguarding Panel. BESS are therefore obliged to refer details of adverse DBS disclosures to the HR Safeguarding Co-ordinator.

In the case of schools who do not use BESS to procure Supply Teachers, Headteachers must satisfy themselves that the necessary vetting standards have been met.

### Contractors

**Pages 37-38 of KCSIE provides guidance on required checks for Contractors.**

At the start of the contract, the person contracting services should request sight of the Third Party Providers policy and procedures on Recruitment Vetting and Child Protection (this should then be reviewed on an annual basis). These should contain clear lines of accountability and written agreement setting out the responsibility for carrying out checks on staff.

On arrival to the school it is the responsibility of the Headteacher or designated officer to ensure that the contractor's employees have their identity checked to ensure imposters do not gain access to children.

Please note that in the case of emergency repairs, contractors must never be left unsupervised on the premises. This should form part of the school's risk assessment.

### **Governors**

**Page 36 of KCSIE provides guidance on required checks for Governors.**

All Governing Boards or Trust Boards are accountable for ensuring their school has effective policies and procedures in place which adhere to the DfE's 'Keeping Children Safe in Education' document.

Therefore, all Governing Boards or Trust Boards should ensure that their school operates safe recruitment procedures and makes sure that all appropriate checks are carried out on staff and volunteers who work with children. In addition they must ensure that policies and procedures are reviewed annually and ensure that information is provided (where appropriate) to the local authority about them and about how the above duties have been discharged.

The Governance Handbook Section 4 (4.1.2) outlines the need for all maintained school governors and all academy Members, Trustees and individuals on any LGBs in a MAT are required to have an enhanced criminal records certificate from the DBS. Further details on DBS checks in schools are within the statutory guidance Keeping Children Safe in Education (KCSIE). Governors will be deemed to be disqualified from holding or from continuing to hold a position as a governor or associate member if they do not have a criminal records certificate.

**It is the responsibility of the Chair of Governors to ensure that all new Governors have a current enhanced DBS disclosure.** Any further checks on Governors will be carried out as determined by the Governing Board or Trust.

In maintained schools, DBS checks will be carried out by the Governor Services Team. It is recommended that Academies should follow a similar DBS process to that used for staff.

In addition, any governor giving cause for concern should also be asked to obtain an Enhanced Disclosure. Further advice on governors can be found at:  
<http://www.education.gov.uk/>

In maintained schools, any matters revealed on a disclosure form will be referred to the authority's DBS panel. The panel will recommend to the Chair whether or not the individual should continue in their role as a Governor. It would then be the Chair of Governors' responsibility to make that decision.

It is recommended that a Chair of Governors contacts the Governors Services team on 01253 476512 to discuss any issues they have which relate to DBS disclosures.

### **Third Party Providers**

Public Sector staff such as NHS employees and Local Authority Staff (including centrally employed teachers / SSA's, psychologists, cleaners, catering staff) will have been

appropriately checked by their employing organisation, prior to them going to the school/work place.

The school must obtain written confirmation from the employing organisation that DBS checks have been completed.

On arrival to the school/workplace it is the responsibility of the Headteacher or designated officer to ensure that the third party employees have their identity checked to ensure imposters do not gain access to children

### **Visitors**

#### **Page 38 of KCSIE provides guidance on Visitors**

Visiting staff who do not have unsupervised access to children and young people do not require a DBS check. The normal risk assessment that applies to all visitors should be quite sufficient. All visitors should follow the usual process of signing in and having their identity confirmed on arrival. They should not be left unsupervised and should be accompanied by a member of staff throughout their visit.

### **Students**

Where a student is carrying out a work placement within a school as part of their course, the responsibility for completing a DBS check, where applicable, and making any decision on suitability based on Disclosure information remains that of the University or College.

## **RECRUITMENT AND SELECTION**

Schools and Academies need to be vigilant in their recruitment and selection of staff. Abusers will target these organisations and be extremely adept at presenting themselves as caring and trustworthy individuals. Indicators of abusive behaviour can emerge through inappropriate attitudes or inconsistent reactions. A vigorous recruitment and selection process provides important opportunities to deter and prevent offenders from gaining access to children and young people through their work.

Organisations can reduce the risk of employing adults who pose, or may pose a risk to children and young people by being vigilant in their employment practices and by adopting a structured and systematic approach to recruitment and selection for all adults and volunteers.

Please see the Safeguarding Training section of this guidance, for information on the training in Safer Recruitment available online and face-to-face.

### **Advertising Jobs**

Schools/Academies must ensure that the following wording is added to all internal and external adverts:

“The School/Academy is committed to safeguarding and promoting the welfare of children. This post is subject to satisfactory References, Enhanced DBS and Health Clearances and proof of right to work in the UK, in accordance with the Asylum and Immigration Act 1996.”

## **Role Profiles and Person Specifications**

The templates at [Appendix 6](#) and [Appendix 7](#) provide example wording.

## **Candidate Information**

Providing the right sort of candidate information at an early stage means that potential applicants will assess themselves against the information provided and judge for themselves whether they should apply for the position. Identifying key selection criteria, highlighting the vetting process and the workplace's vigilance in ensuring children are safeguarded, will attract good applicants and may act as a deterrent to those seeking opportunities to access and abuse children.

The following wording must be given to all candidates applying for posts which have access to children.

### ***Safeguarding Children***

*All those who come into contact with children and families in their everyday work, including practitioners who do not have a specific role in relation to safeguarding children, have a duty to safeguard and promote the welfare of children.*

*You are likely to be involved in two main ways:*

- *You may have concerns about a child, and refer those concerns to children's social care or the police. School staff (both teaching and non-teaching) should be aware of the local procedures to be followed for reporting concerns about a particular child. This will normally be via the school's designated senior member of staff or their nominated deputy or if neither are available, another senior member of the school's staff. In emergencies however, contact the police direct.*
- *From the point that concerns are raised about a child and are referred to a statutory agency that can take action to safeguard and promote the welfare of the child through an initial assessment of the child's situation and what happens after that*

*Everyone working with children and families should be familiar with and follow the organisation's procedures and protocols for promoting and safeguarding the welfare of children in your area, and know who to contact in the organisation to express concerns about a child's welfare.*

*Remember that an allegation of child abuse or neglect may lead to a criminal investigation, so don't do anything that may jeopardise a police investigation, such as asking child leading questions or attempting to investigate the allegations of abuse.*

*If you are responsible for making referrals, know who to contact in police, health, education, school and children's social care to express concerns about a child's welfare.*

## **Scrutinising and Shortlisting**

The templates at [Appendix 8](#) and [Appendix 9](#) may be useful to help produce an ideal shortlisting procedure and candidate summary sheet.

## **References**

**Page 31 of KCSIE provides further information on references.**

Reference request templates for Non-Teaching and Teaching staff can be found at [Appendix 10](#) and [Appendix 11](#)

Requests for references should always ask 'Are you satisfied that this candidate is suitable to work with children?'

## **Limitations of References**

References direct from employers may have their limitations because:

- Employers are sometimes hesitant to provide an unfavourable reference for a former employee
- Glowing references can sometimes be provided by employers as a way to get rid of an unwanted staff member
- Applicants usually select people who will give them a glowing reference
- Referees are sometimes friends
- A reference is sometimes negotiated as part of a compromise agreement

Nevertheless, despite these limitations, references must be sought on all successful candidates and with a systematic and structured approach can positively contribute to a vigorous and transparent selection process. Any gaps in employment history or 'work abroad' without specific employer's dates should be rigorously examined.

## **Requesting References**

It is a requirement that one of the referees is the applicant's current or most recent employer. There are circumstances when this is not always applicable, for example: -

- If the candidate has not previously been employed, a reference would normally be requested from their last educational establishment.
- If the candidate has recently been unemployed and cannot therefore provide an employment referee, then a character referee with knowledge of the candidate such as a child's Teacher, doctor, solicitor, police officer or other professional can be sought.
- If the candidate has recently been self-employed, a business partner, client or accountant for example can provide a character reference.
- If it is not possible to obtain a reference from any of the above, the panel will consider asking for another suitable reference

Relatives and friends should be precluded from providing references as they are unlikely to be objective and there is no way of verifying the accuracy of the information they have provided. Applicants should always be reminded that the prospective employer reserves the right to make contact with any of the employers listed on the application form.

In the event that a referee refuses to provide a reference, find out why and seek an alternative referee.

## **Evaluating References and confidentiality**

References should be treated as confidential. Difficulties arise, however, where a reference raises a serious concern about the preferred candidate's suitability for the post. The referee's consent to the disclosure of the contents of the reference should be obtained prior to discussing the concerns directly with the candidate. As a result of receipt of an adverse reference, the interview panel may: -

- Seek clarification on the area of concern with the candidate during the interview. If this proves satisfactory, the panel may appoint.
- Refuse the appointment on the grounds of an unsatisfactory reference. Where this is the case the panel must ensure that the decision is fair and reasonable and based on justifiable grounds.

Where the reference is unclear or hints at problems, it is advisable to telephone the referee in order to clarify the information. Notes of the conversation must be documented, dated, signed and placed on file. In such considerations the welfare of the children is paramount.

## **Non receipt of references**

There may be occasions where despite chasing referees no information is forthcoming; this can be due to a number of reasons, such as:

- Closure of business;
- Company policy not to provide references;
- Relevant management no longer in post;

In these circumstances, the situation will be escalated to the Headteacher, who may consider authorising a 'Post Employment Risk Assessment Form' [Appendix 3](#) to confirm that the risk controls in place (i.e. other satisfactory references and DBS clearance) are sufficient to mitigate the risk on an ongoing basis, allowing the individual to be confirmed in post.

## **Interviews**

[Appendices 12, 13, 14, 15, 16](#) may be useful as they provide guidance on the role and function of the Interview Panel, an Invitation to Interview letter, a template for interview notes, a post interview template and guidance on the scope and content of interviews.

## **Interview Questions**

Managers are advised to conduct in-depth interview questions to help deter, identify and reject applicants who might be unsuitable to work with children or vulnerable adults.

For posts involving working with children, at least one panel member should have completed the Children's Workforce Development Council (CWDC) Safe Recruitment training. A selection of questions which can be used to explore the candidate's attitude to children and young people is included in the CWDC online training. – **LYNN BARUGH TO REVIEW**

The Interview Panel should also explore any concerns or discrepancies arising from the information provided on the candidate's application form, such as gaps in employment history.

## **Warning Signs in Interviews**

It is difficult, if not impossible, to identify an abuser in the selection process. There are no conclusive abuser profiles and no distinguishing physical characteristics. It is highly unlikely that someone with a history of offences against the vulnerable would admit to these crimes. It is more likely that the abuser will be watchful, studious and extremely careful not to exhibit any overt signals. Warning signs can be subtle and the individual may offer an overly smooth presentation, or be exceptionally keen to please. There may be strange or inappropriate comments about children or signs of evasion or dishonesty. However, there may be none of these signs and indeed the individual may simulate the very person the panel had in mind for the job.

It is vital that interview panels keep an open mind and do not stereotype abusers. Even though it is a complex area, do not stop looking for signs. Panel members should be alert to the possibility that the behaviour of some candidates, albeit a minority, may pose a risk.

### **Gaps in employment**

Any gaps in employment history or 'work abroad' without specific employment dates should be rigorously examined.

Rather than having anything serious to hide, the candidate may have omitted details of extended travel or jobs felt to be of little relevance to the post they are being interviewed for. However, such gaps in the candidate's employment history should be explored in the interests of gaining a complete picture of the candidate's history.

### **Withdrawal of a Conditional Offer**

As long as it is made clear to a prospective employee that an employment offer is conditional, the offer could be withdrawn if a condition is not satisfied, providing this is within a reasonable timeframe.

A contract of employment is only made where there has been an unconditional offer and an unconditional acceptance, supported by the intention to create a legal relationship.

Please contact the HR Team for further advice and guidance.

## **RECORD KEEPING**

### **Page 38 of KCSIE provides guidance on the Single Central Record (SCR)**

In order to comply with Ofsted requirements Schools and Academies must be able to demonstrate that they have robust and accurate records of the checks they have carried out. This is a protection for all concerned including the school.

The HR Team will undertake a regular review of checking procedures and will advise you of any changes, for example as a result of new DFE guidelines. Schools should also regularly review the associated record keeping and this will be further reviewed as part of regular Ofsted inspections. In addition, through amendments to the School Staffing Regulations, the DFE will make it a legal requirement of schools that they maintain proper records.

The Single Central Record should record the recruitment and vetting checks that have been completed on the following workers:

- All staff who are employed to work at the school;
- All staff who are employed as supply staff to the school, whether employed directly by the school, further education college, local authority or through an agency;
- All others who have been chosen by the school to work in regular contact with children; this will cover volunteers, governors and for academies all members of the proprietor body.
- Workers brought into the school to provide additional teaching or instruction for pupils but who are not staff members; for example, a specialist sports coach or artist.

For all visitors not included on the SCR, schools should require them to sign in. Where unsupervised access to children is likely – for example, visiting local authority staff – schools should check their proof of identity.

For individuals who come in to a school from an outside agency, it is sufficient for schools to seek written confirmation from the employing organisation that all required recruitment and vetting checks, including DBS, have been carried out.

Schools must obtain written notification from any agency, or third-party organisation they use that the organisation has carried out the checks (in respect of the enhanced DBS certificate, written notification that confirms the certificate has been obtained by either the employment business or another such business), on an individual who will be working at the school or college that the school or college would otherwise perform. Where the position requires a barred list check, this must be obtained by the agency or third-party prior to appointing that individual. The school must also check that the person presenting themselves for work is the same person on whom the checks have been made.

The information that must be recorded in respect of staff members (including teacher trainees on salaried routes) is whether the following checks have been carried out or certificates obtained, the date on which each check was completed/certificate obtained and who evidences the check:

- Identity check;
- Barred list check;
- Enhanced DBS check/certificate;
- Prohibition from teaching check;
- Section 128 check (for management positions as set out in **page 26 of KCSIE** for academies);
- further checks on people who have lived or worked outside the UK; this would include recording checks for those European Economic Area (EEA) teacher sanctions and restrictions described on **page 33 of KCSIE**;
- Check of professional qualifications; and
- Check to establish the person's right to work in the United Kingdom.

A sample SCR format is available from the HR Team upon request.

# SAFEGUARDING TRAINING

Safeguarding is everybody's business and we all share accountability and responsibility to ensure anyone working with Children and Young People have received the appropriate level of Safeguarding and Induction training.

The Authority has a role to play in making the training available but Governors, Headteachers and Line Managers have a duty to ensure their staff receives the appropriate level of training at the right time. Quality control of Safeguarding training provision will take place where training is not accessed from the Authority.

The database for recording all information will be VISION and the Organisation and Workforce Development Team update VISION on an ongoing basis with the records of school staff which have completed training.

### **Induction Training**

Any Induction training undertaken must include a session on basic Safeguarding, which covers the following information:

- Relevant Safeguarding Policies and procedures e.g. Child protection, Anti bullying, etc
- Safe practice and standards of conduct and behaviour expected of staff and pupils
- How and with whom any concerns should be raised
- Signposting to other policies/procedures such as Discipline, Capability, Whistleblowing etc

Schools will make their own arrangements for Induction and will be supported by the Organisation and Workforce Development Team, where requested, through the provision of E Learning Safeguarding Training for cleaners and Site Supervisors

### **Safeguarding Training Level 1**

For new posts within schools, and in order to reduce the administrative burden, it is proposed that any new post unless a cleaner, site supervisor or Designated Lead would be assumed to require minimum Level 1 training

Level 1 training is required for anyone with significant face-to-face contact with children.

This training will include:

- How to identify signs of abuse and when it is appropriate to make a referral
- A working knowledge of LSCB operation and conduct of a Child Protection case conference
- Access to and understanding of the Child Protection Policy
- How to keep secure and accurate records.

Records of who attends these sessions will be updated in VISION after the session takes place and the Children's Organisation and Workforce Development Team will undertake this

within the above cost. This will enable schools to request exception reports as required and help them to evidence that they are meeting requirements.

Where an employee commences work within the school in the interim period it is the responsibility of the Headteacher to ensure that they are appropriately trained and if required they can be booked onto one of the Level 1 Safeguarding courses run by the Organisation and Workforce Development Team. This includes updating the VISION database. These employees should then also be included in the next refresher sessions so that they are on the same 3 yearly refresher cycle as the rest of the school.

### **Safeguarding Training Level 2**

It is the responsibility of the LSCB to ensure this training is available for all staff with designated lead responsibility for Child Protection. The training will cover inter Agency working and explain how to work in partnership to safeguard children.

There is now a field in VISION to identify which employees are designated to lead in Safeguarding and all of the information for schools has been updated. These records will help to differentiate employees and enable Managers and Headteachers to ensure relevant employees receive the appropriate level of training.

### **Refresher Training**

Records should be kept to show who has completed Safeguarding training and when, and VISION will be the master database for all of this information. Refresher training must then take place every 2 years for Designated Leads and every 3 years for all other staff.

It is the responsibility of the Line Manager/Headteacher to ensure that staff receive refresher training at the appropriate time and reports will be available from VISION on request to assist with monitoring.

### **ipool module online training**

#### **(Introduced in response to Sir Michael Bichard's recommendations)**

Online training in safer recruitment practices, as recommended by the Bichard report, is currently available for nominated Governors and Headteachers from each school. From the 1 October 2007 Ofsted inspectors will be including the checking of completion of this training as part of their visits. In addition at least one member of any recruitment panel in a school must have completed this training.

It will be the responsibility of the Authority's Governors Service Team to inform the school's Chair of Governors who has completed the training. It will be the Chair of Governors responsibility to ensure that the Headteacher and nominated Governor have undertaken or have arranged to undertake the training.

Governors who are undertaking the online training should be registered on the NCSL website. This task should be undertaken by the Headteacher who will complete an online registration form on behalf of the nominated Governor. On receipt of this, NCSL will post out a username and password, together with information regarding how to access the website, to the Governor at his/her home address.

The Senior Business Partner for Schools will monitor completion of the training for Headteachers and will ensure VISION records are updated.

### **Safer Recruitment training**

This training is aimed at Senior Leaders in schools, Governors, Advisors and Key Officers and is intended to increase the use of safer recruitment techniques and help fulfill Managers/Headteachers responsibility to have in place safe recruitment and selection practices.

This training is an alternative to the NCSL **this has been replaced by the ipool module (cwdc original training)** online training mentioned above and has been developed in Partnership with the DFE and Manchester Metropolitan University taking into account the Sir Michael Bichard report and recommendations.

By attending the course you will:

- Increase your understanding of offender behaviour
- Understand the key features of staff recruitment that help to deter or prevent the appointment of unsuitable people
- Understand the policies and practices that minimise opportunities for abuse or ensure its prompt reporting
- Be able to consider/review your own practices and procedures

### **Managing Challenging Behaviour**

There is a graduated response to supporting schools and providing training to manage challenging behaviour.

The Behaviour and Attendance Consultant works with schools on whole school systematic professional development needs.

The Inclusions Support team supports schools with individual children and young people who present challenging behaviour and addresses jointly with schools and other services professional development needs.

The Authority has a policy on physical intervention, which makes clear the legal position, and duty of care issues.

Within the Authority there is a small team of professionals who are trained as 'trainers' using the Team Teach preferred practices. This is underpinned by a set of values based on Safeguarding, dignity and respect and minimising risks. Training is available to schools, which focuses on strategies to avoid and defuse confrontation and manage behaviour within a framework of safe practices.

# APPENDICES

## APPENDIX 1 - Pre Employment Risk Assessment Form

SCHOOL \_\_\_\_\_ NAME \_\_\_\_\_ POST TITLE \_\_\_\_\_ START DATE \_\_\_\_\_

A conditional offer of appointment has been made by HR to the above candidate, subject to receipt of satisfactory pre-employment clearances.

**Conditions of completing a Risk Assessment:**

A Risk Assessment must only be completed where the following requirements have been met (if applicable to the post):

- DBS Children’s Barred List (old List 99) checked by HR and no matching records found
- Identification check completed
- DBS application form completed and submitted to the DBS for processing
- Employee Health Needs Assessment form completed and submitted to Occupational Health for processing

The School has requested that the candidate starts in post, despite the following clearances remaining outstanding:

Outstanding clearance <i>Please delete clearances that have already been received:</i>	Hazard	Harm	At Risk	Factors 1 = low risk, 5 = high risk		Risk Rating before Risk Control (L x S)	Risk Control in place <i>Examples in ‘red’ - delete / add where applicable</i>	Risk Rating after Risk Control
				LIKELIHOOD (1-5)	SEVERITY (1-5)			
DBS clearance	Employee may be barred from working with children / vulnerable adults.  Employee may have a criminal history which would make them unsuitable to work with children.	Grooming a relationship resulting in abduction / assault / abuse	Children  Service users				<ul style="list-style-type: none"> <li>• Completed DBS application form received and sent for clearance.</li> <li>• DBS Children’s Barred List (old List 99) checked and no matching records.</li> <li>• Identity documents verified.</li> <li>• Ensure there are no opportunities for the individual to be left alone with children or young people</li> <li>• References obtained from previous employer/s</li> <li>• Staff Induction given to employee to clarify their contact with children including explicit instruction not to be alone with children.</li> <li>• Member of staff identified as co-worker/supervisor and advised of exact nature of supervision required so fully understood and agreed with</li> </ul>	

							regular reviews taking place at least every 2 weeks.	
<b>Medical Clearance</b>	Employee completes duties that they are not fit to carry out due to health issues	Injury to employee  Employee's health issues result in absence  Serious illness or operations or suffering from a reoccurring ailment	Health and Safety Issues  Service users				<ul style="list-style-type: none"> <li>Completed Health questionnaire received and sent for clearance Management of Attendance Procedures issued, explained and signed for by employee.</li> <li>Manager follows Management of Attendance Procedure e.g monitors absences and ensures Return to Work Interviews are completed.</li> <li>If an applicant discloses background medical information which is relevant to the post then manager completes the appropriate risk assessment.</li> </ul>	
<b>References</b>  If working with children or vulnerable adults, references should be obtained from all previous employers over the past 2 years.  An additional reference should be sought from the employer where the candidate was last employed to work with children / vulnerable adults, even if this was longer than 2 years ago.  Character references should only be used when an employment reference	Manager unaware of possible relevant issues with previous employers	Employee is not suitable to carry out the role	Children  Service users				<ul style="list-style-type: none"> <li>Telephone References obtained from previous employer(s) – This should be followed up in writing.</li> <li>Staff Induction given to employee to clarify their contact with children including explicit instruction not to be alone with children. Induction to include HM Governments Guidance 'What to do if you're worried a child is being abused – Summary', Guidance for Safer Working Practice for Adult who Work with Children and Young People and the Blackpool Council's Confidentiality Policy. The employee must sign to confirm that they have read and understood the contents of the aforementioned documents. A member of staff is identified as co-worker/Supervisor and is advised of exact nature of supervision required so fully understood and agreed with</li> </ul>	

cannot be obtained and should not be completed by friends or family.							regular reviews taking place at least every 2 weeks.	
<b>Proof of right to work in the UK</b>	Unable to evidence right to work in the UK  Employing illegal worker	Authority liable to prosecution and fine for employing ineligible worker	Authority / Service				<ul style="list-style-type: none"> <li>No suitable controls. Statutory requirement.</li> </ul>	
<b>Qualifications</b>  Gain sight of the original certificates. Copies can only be accepted if they are accompanied by signed statement of authenticity from the issuing organisation.	Employee does not have necessary skills to perform effectively in role	Disciplinary issues on grounds of capability  Service users	Authority / Service Users				<ul style="list-style-type: none"> <li>Similar skills evidenced by sight of other qualification certificates held.</li> </ul>	

The outstanding checks must be completed as soon as possible, so please ensure any requests from HR are dealt with promptly.

This form must be authorised by the Headteacher and countersigned by the Chair of Governors to allow the candidate to commence in post, prior to completion of all clearances.

In signing this form the Headteacher and Chair of Governors accept the risks associated with the person commencing employment in full knowledge of the specified missing clearances.

Risk Assessment Completed By: \_\_\_\_\_ Risk Assessment Authorised By: \_\_\_\_\_ Countersigned By: \_\_\_\_\_  
 Designation: \_\_\_\_\_ Designation: \_\_\_\_\_ Designation: \_\_\_\_\_  
 Date: \_\_\_\_\_ Date: \_\_\_\_\_ Date: \_\_\_\_\_

*Please return the completed form to your HR representative*

## APPENDIX 2 - Guidance on how to complete a Pre Employment Risk Assessment Form

1. Identify and list the pre-employment checks that remain outstanding.
2. Identify and record all the potential hazards associated with each of the checks not being in place.
3. Consider and record the potential harm that could occur as a result of the hazard. E.g. the possibility of an individual being left unsupervised with a child.
4. Identify and record all those who may be at risk from the hazard. E.g. pupils as well as employees.
5. Decide and record what controls are already in place to eliminate or reduce the risks to those identified in step 4.
6. Determine if the controls that are already in place sufficiently reduce the risk to a reasonably practicable level.

To help to decide if the present controls are adequate consider the following 2 questions:

- What is the likelihood that harm will still occur even with the controls that you have in place? Give the likelihood a number from 1-5 using the key below:

1 = Improbable  
2 = Highly unlikely  
3 = Likely  
4 = Very Likely  
5 = Almost certain

- What is the potential severity of that harm should harm occur? Give severity a number from 1-5 using the key below:

1 = Not harmful  
2 = Slightly harmful  
3 = Harmful  
4 = Extremely harmful  
5 = Catastrophic

7. When you have determined the likelihood of harm occurring and the possible severity of harm, multiply the two numbers e.g.

Likelihood = 3  
Severity = 3,  
 $3 \times 3 = 9$   
Therefore the Risk rating = 9

The result of multiplying the two numbers will then give you the current risk rating of the hazard.

8. Determining the risk rating will assist you in deciding if further controls are required and if so the type or level of controls needed. Remember - the higher the risk, the more rigorous the controls required.

When you have decided on the appropriate controls, record your findings in the 'Recommended Risk Control in place' column on the Risk Assessment Form.

9. Monitor all control measures to ensure their effectiveness and regularly review all risk assessments.

### Risk Ratings

'Likelihood' x 'Severity' = Risk Rating

Likelihood	Impact / Severity				
	1 = Not Harmful	2= Slightly Harmful	3= Harmful	4= Extremely Harmful	5= Catastrophic
<b>1 = Improbable</b>	1	2	3	4	5
<b>2 = Highly unlikely</b>	2	4	6	8	10
<b>3 = Likely</b>	3	6	9	12	15
<b>4 = Very Likely</b>	4	8	12	16	20
<b>5 = Almost Certain</b>	5	10	15	20	25

**Low Risk = 1-7**

**Medium Risk = 8-15**

**High Risk = 16-25**

The overall Risk Rating will determine the level of control required.

## APPENDIX 3 - Post Employment Risk Assessment Form

SCHOOL \_\_\_\_\_ NAME \_\_\_\_\_ POST TITLE \_\_\_\_\_ START DATE \_\_\_\_\_

Despite regular chasing, the reference/s indicated below remains outstanding:

Outstanding clearance	Hazard	Harm	At Risk	Factors 1 = low risk, 5 = high risk		Risk Rating before Risk Control (L x S)	Risk Control in place <i>Examples in 'red' - delete / add where applicable</i>	Risk Rating after Risk Control
				LIKELIHOOD (1-5)	SEVERITY (1-5)			
<b>Reference(s)</b> to cover previous employment(s) at:  <employer> (Dates from - to)	School unaware of possible relevant issues with previous employers	Employee is not suitable to carry out the role	Children/vulnerable adults  Service users				<ul style="list-style-type: none"> <li>• Satisfactory reference/s received from previous employer/s: _____.</li> <li>• Telephone Reference/s obtained from previous employer/s: _____.</li> <li>• Satisfactory DBS clearance and medical clearance received.</li> <li>• Staff Induction given to employee to clarify their role. Induction to include HM Governments Guidance 'What to do if you're worried a child is being abused – Summary', Guidance for Safer Working Practice for Adult who Work with Children and Young People and the Blackpool Council's Confidentiality Policy. The employee must sign to confirm that they have read and understood the contents of the aforementioned documents.</li> </ul>	

The Headteacher authorises this form and then it is countersigned by the Chair of Governors. In signing this form the Authoriser accepts the risks associated with the person being confirmed in post in the full knowledge of the specified missing reference/s.

Risk Assessment Completed By: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Date: \_\_\_\_\_

Risk Assessment Authorised By: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Date: \_\_\_\_\_

Countersigned By: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Date: \_\_\_\_\_

## **APPENDIX 4 - Asylum & Immigration Documentation**

## **APPENDIX 5 – DBS Identification Checklist**

## APPENDIX 6 – Role Profile Template

Role Title	Typically reports to
Administrator 1	Line Manager
Information sources	Date of profile
Agreed by School Working Party Job Evaluation Panel	150711
Purpose of the role (job statement)	
To provide general clerical or administrative support to the school under the direction or instruction of senior staff.	
Responsibilities	
<p>Key duties:</p> <ol style="list-style-type: none"> <li>1. Provide administrative support, following instructions or set routines e.g. photocopying, filing, faxing, emailing, completion of routine forms, school meals. This could be directly supporting the Headteacher</li> <li>2. Update manual and computerised records/management information systems.</li> <li>3. Exchange of information with other school staff and teachers, senior leadership team, pupils, parents / carers, suppliers.</li> <li>4. Maintain confidentiality and adhere to safeguarding procedures</li> </ol> <p>Individuals in this role may also:</p> <ol style="list-style-type: none"> <li>1. Undertake reception duties, act as first point of contact in response to telephone and face-to-face enquiries, sign in visitors</li> <li>2. Open, sort and distribute incoming mail and post outgoing mail</li> <li>3. First point of contact for sick pupils, liaise with parents / carers / staff</li> <li>4. Assist with arrangements for visits, for example by school nurse, photographer</li> <li>5. Ensure collection of attendance registers</li> <li>6. Responsible for the selection, ordering and storage of supplies under direction.</li> <li>7. May handle small amounts of cash (e.g. dinner money, school visits).</li> </ol>	
Indicative knowledge, skills and experience	
<ul style="list-style-type: none"> <li>• Some knowledge of school administration and office systems.</li> <li>• National qualifications at Level 2, GCSE or relevant equivalent experience.</li> </ul>	

## APPENDIX 7 – Person Specification Template

Post Title

Post Number

Date produced:

Key: Column 3: E = Essential Criteria D = Desirable Criteria. Column 4: AF = Application Form I = Interview T = Test

Assessed by:

1	2	3	4
	Categories	E/D	AF/I/T
1	<p><b>SKILLS</b></p> <p>Competencies and Qualities that the successful candidate should be able to demonstrate E.g.</p> <ul style="list-style-type: none"> <li>• Motivation to work with children and young people</li> <li>• Ability to form and maintain appropriate relationships and personal boundaries with children and young people</li> <li>• Emotional resilience in working with challenging behaviours</li> <li>• Attitude to use of authority and maintaining discipline</li> </ul>	<p>E</p> <p>E</p> <p>E</p> <p>E</p>	
2	<p><b>KNOWLEDGE</b></p> <p>What knowledge the applicant will be expected to have</p>		
3	<p><b>EXPERIENCE</b></p> <p>Any experience needed to perform the role including in relation to working with children and young people</p>		
4	<p><b>QUALIFICATIONS</b></p> <p>State what qualifications are essential and which are desirable.</p>		
5	<p><b>SPECIAL REQUIREMENTS AND ENVIRONMENTAL FACTORS</b></p> <p>Any other requirements needed to perform the role including in relation to working with children and young people</p>		

***This school/workplace is committed to safeguarding and promoting the welfare of children and young people and expects all staff and volunteers to share this commitment***

## APPENDIX 8 – Scrutinising and Shortlisting

The interview panel should assess the applications and shortlist those who are most suitable for interview. [At least one panel member must have completed the National College for School Leadership training in safer recruitment practices \(Please refer to the relevant part of this procedure\) – now obsolete?](#)

Shortlisting is a systematic process, not an ad-hoc practice and if the key performance criteria have been identified and a standard application form has been received, then the information should be readily available for the interview panel to consider. The main principle of shortlisting is that no matter how many applications are received, all are read, assessed against the person specification and recorded on a candidate shortlisting matrix (Appendix 9).

The shortlisting process involves an assessment of information provided on the application form against the essential requirements of the role, as outlined in the person specification. Each of the essential criteria must be evidenced through specific examples, which demonstrate that the candidate meets the requirements of the role. Applications made on a CV alone should not be accepted. If an individual submits only a CV, then this should be disregarded during the shortlisting process. The applicant would then fail to meet the criteria for selection for interview.

Essential criteria are the minimum requirements required to perform the role. If a candidate does not meet the essential criteria, then s/he should not be shortlisted. If an unmanageable number of candidates meet the essential criteria, then the desirable criteria can be used as a further indicator of suitability.

Shortlisting decisions must be based on an objective assessment of evidence provided by the applicant and contained **within** the application form. The content of the application form is measured against the essential requirements listed on the person specification and not on assumptions or knowledge held by a panel member about the applicant. This can easily occur if:

- i) the applicant is an internal candidate or is/has performed the role on a temporary basis, or is known to a member of the shortlisting panel;
- ii) panel members themselves are discriminatory in relation for example, to the applicant's gender, ethnic origin, disability, sexual orientation, age or religious beliefs;
- iii) a view is held about the applicant's home life which may affect the job e.g. "she will get married, have children and leave", "she will never work late as she has to look after her children", "his wife is disabled, he'll always be looking after her".

### Shortlisting procedure

Panel members should initially shortlist individually. Each individual member of the panel should review the application forms without reference to other panel members. The panel should then convene to discuss and agree their findings, and draw up the final shortlist. All members of the shortlisting panel must have equal status and contribute to the process accordingly.

Panel members should resist the temptation to shortlist internal candidates, or those already performing the role on a temporary basis, simply because they feel they ought to give them a chance.

There is no prescription about the number of candidates that should be shortlisted; this decision should be based on the assessment of candidates against the essential requirements of the person specification. Where this number is low, a judgement will need to be taken on whether it is viable to continue with the selection process. Advice is available from HR in such circumstances. However, if only one candidate meets the essential criteria, then it is perfectly acceptable to shortlist and interview only this candidate. In the situation where a large number of candidates meet the essential criteria, an attempt to reduce this further by using desirable criteria may be used. The panel should not use additional criteria that do not appear on the person specification as essential or desirable criteria, to reduce the number of shortlisted candidates.

Part of this process may also include highlighting any points which the panel would like to raise in interview. This could include:

- specific areas of work or expertise the panel would like to ask about
- gaps in employment history
- vague terms or accomplishments which require clarity
- frequent changes of employment or address

Rather than having anything serious to hide, the candidate may have omitted details of extended travel or jobs felt to be of little relevance to the post s/he is being interviewed for. However, such gaps in the candidate's employment history should be explored in the interests of gaining a complete picture of the candidate's history.

## APPENDIX 9 – Candidate Shortlisting Matrix

<p><b>Post:</b></p> <p><b>School:</b></p> <p><b>Shortlisters:</b></p>	<ol style="list-style-type: none"> <li>1. List all Employee Specification criteria along the top noting Essential/ Desirable.</li> <li>2. List all the candidates in left-hand column and compare against Application Form.</li> <li>3. Reject all who do not have all of the Essentials use Desirables to refine shortlist.</li> <li>4. Enter reason for rejection:</li> </ol> <p>R1      Lack of Qualifications</p> <p>R2      Lack of Knowledge, Skills, Abilities</p> <p>R3      Lack of Experience</p> <p>R4      Incomplete or poorly prepared/presented applications</p> <p>R5      Unsigned Application Forms</p> <p>R6      Canvassing</p> <p>R7      Results of selection tests</p> <p>R8      Other – Must be Specified</p>
---	--

Enter Criteria <span style="font-size: small;">→</span>								Comments
<i>(Show whether Essential or Desirable)</i>								
Candidate <span style="font-size: small;">↓</span>								
1								
2								
3								
4								

## **APPENDIX 10 – Non-Teaching Reference Request Form**

## APPENDIX 11 – Teaching Reference Request Form

## APPENDIX 12 – Role and function of Interview Panel

The interview is an important selection technique. The main aim of the interview is to determine the candidate's suitability for the post. However the interview is also used to give prospective employees a picture of the school/place of work and the job, and maintain and improve the image of the organisation as an employer of choice.

All interviews should be conducted by a panel of interviewers. Although it is possible for interviews to be conducted by a single person, it is not recommended. Panel interviews reduce the risk of personal biases and provide a variety of differing opinions and experiences, thus ensuring that decisions are based on more than one person's assessment. Every effort should be made to keep the interview panel as small in number as possible, and [at least one panel member should have completed the National College for School Leadership \(NCSL\) Safe Recruitment training – LYNN BARUGH TO REVIEW](#)

Members of the interview panel should:

- have the necessary authority to make decisions about appointment;
- be appropriately trained
- have met before the interview to agree what standards they are looking for at interview
- determine who will ask what and what assessment criteria they will use in accordance with person?

The interview should be an exchange of information which will help you to assess the candidate against the agreed objective criteria laid down in the person specification, and **will also explore the candidate's suitability to work with children**. The interview is not just a test for candidates. It is also a test of a panel member's ability to **listen, probe, assess and be objective and fair**.

It is important to ensure that the interviews are carried out in a systematic and structured way in order to minimise the extent to which personal bias affects recruitment decisions.

Panel members should have already agreed a set of interview questions, and therefore know which areas of the person specification they wish to explore at interview. They may also wish to explore more in-depth information on other aspects of the application form.

The Chair has an important role on the panel, which includes:-

- Making necessary introductions to the candidates at interview and explaining the format of the interview process.
- Ensuring that the candidate feels sufficiently at ease to be able to communicate effectively during the course of the interview.
- Ensuring that the interview panel has probed the candidate sufficiently well to enable a valid suitability assessment to be made regarding the candidate's ability to do the job.
- Concluding the interview and inform the candidate what the subsequent stages of the process are.

The panel should meet prior to the interview to have planned and agreed which questions will be asked, and which panel member will ask which questions. At this stage panel members should have a clear idea as to the key points which they expect to be covered in response to the specific question.

All candidates should be asked the same core questions. If the candidate has, in answer to a previous question, appeared to answer a subsequent question, that question should still be asked and the candidate given the opportunity of addressing the question directly, or supplementing the information already given. Supplementary questions may be asked by any panel member, but should only be used as clarification and elaboration of a candidate's answers i.e. probing for further information and clarity in order to evidence specific information to satisfy the original question. Be careful that the supplementary questions do not disrupt the flow of the interview and that the Chair of the panel controls such questions

The candidate's attitude to children and young people can be assessed through conversation and careful questioning. [A selection of questions which can be used to explore these attitudes is included in the NCSL online training, but can only be accessed by those registered.](#) – **LYNN BARUGH TO REVIEW** It is highly recommended that the full list of questions be viewed by all members of the panel prior to questions being agreed.

It is important that all interviewers keep notes to ensure that a properly reasoned assessment can be made as to whether a candidate meets the requirements of the person specification and whether they are suitable to work with children. It also enables a fair comparison to be made between candidates at the end of the interview process.

Remember, any paperwork used to record assessment and selection decisions may be used in candidate feedback, in the event of a recruitment complaint, or in the event of any legal action taken by an unsuccessful applicant and will, therefore, need to be retained for a minimum period of 12 months. The template overleaf may be of value for panel members to make notes (these should be collected by the chair and retained pending any subsequent queries to the panel). The panel should also complete a post interview report form once a decision to offer the post is made

### **Red Flags and Warning Signs in Interviews**

Experts agree that it is difficult, if not impossible, to identify an abuser in the selection process. There are no conclusive sex offender profiles and no distinguishing physical characteristics. It is highly unlikely that someone with a history of offences against children would admit to these crimes. It is more likely that the sex offender will be watchful, studious and extremely careful not to exhibit any overt signals. Warning signs can be as subtle as the individual who talks of being a friend to all the local children, the one who takes them out and has an exceptional rapport with them, or the individual may offer an overly smooth presentation, or be exceptionally keen to please. There may be strange or inappropriate comments about children or signs of evasion or dishonesty. However, there may be none of these signs and indeed the individual may simulate the very person the panel had in mind for the job.

It is vital that interview panels keep an open mind and do not stereotype child abusers. Even though it is a complex area, do not stop looking for signs. When working with children and young people, all adults should be alert to the possibility that the behaviour of some adults, albeit a minority, may pose a risk.

Individuals unsuited to working with children may show one or more characteristics that can be viewed as possible danger signs. These are included in the NCSL online training but can only be accessed by those registered. It is recommended that this list of characteristics be viewed by a member of the panel, and shared with other panel members prior to the interview taking place.

## APPENDIX 13 – Invitation to Interview letter

Date:

Ref:

Please Ask For:

Telephone:

Dear <Candidate Name>

Thank you for your application for the post of <job title> at <school>.

We are pleased to invite you for interview on:

**Date:**

**Time of interview:**

**Time of assessment, test or presentation:**

*(Where applicable)*

**Details of assessment, test or presentation:**

*(E.g. Title of presentation, typing test, etc. State any equipment available for use)*

**Members of selection panel:**

*(minimum of 2 who have the authority to appoint)*

<name and designation>

<name and designation>

**Location:**

**Please report to:**

*(Enter who to report to or where e.g. reception)*

The interview will last for approximately <length of time>. The person specification, a copy of which is enclosed, will advise you of those areas that will be assessed during the interview. In addition to this, we will also be exploring your suitability to work with children and the interview will include questions relating to safeguarding and promoting the welfare of children.

### **Qualifications**

You should also bring with you documents confirming any educational and professional qualifications that are necessary or relevant to this post e.g. original certificates or a certified copy of a certificate or a letter of confirmation from the awarding body.

### **DBS Clearance**

This post is exempt from the Rehabilitation of Offenders Act 1974. If you are successful, a DBS Disclosure will be sought. Therefore, please bring with you to the interview the documents detailed in the enclosed 'DBS Identification checklist'.

### **Asylum and Immigration Act 1996**

With effect from 1<sup>st</sup> May 2004, Section 8 of the Asylum and Immigration Act 1996 requires **all employers** in the United Kingdom to make basic document checks on every person they intend to employ.

In order to comply with the Asylum and Immigration Act 1996 you will need to bring with you documentation as detailed in the enclosed 'Asylum & Immigration Documentation'. Confirmation of appointment will be dependent upon the provision of suitable verification.

Should you have any problems with the completion of any of the enclosed forms or requested documents please do not hesitate to contact me on the telephone number above.

Please confirm your attendance by contacting <name> on <telephone number>

Yours sincerely

<Name>  
<Designation>

Enc:

DBS Identification checklist

Asylum and Immigration Documentation

Interview Expense Claim form (If applicable)

Map / Directions to venue of interview

## APPENDIX 14 – Interview notes template

Interview notes – to be retained in School following the interview

<b>Post Title:</b>	
<b>School:</b>	
<b>Post No:</b>	
<b>Date:</b>	
<b>Candidate's Name:</b>	

	Notes	Score
<p><b>Criteria- Skills</b>  <i>Insert here questions being asked in order to assess the candidate against the required skills stated on the person specification</i></p>		
<p><b>Criteria- Knowledge</b>  <i>Insert here questions being asked in order to assess the candidate against the required knowledge stated on the person specification</i></p>		
<p><b>Criteria- Experience</b>  <i>Insert here questions being asked in order to assess the candidate against the required experience stated on the person specification</i></p>		

<b>Criteria- Qualifications</b> <i>Insert here required qualifications stated on the person specification</i>	
<b>Special Requirements &amp; Environmental Factors</b> <i>Insert here any further requirements stated on the person specification</i>	
<b>NB: the panel need to predetermine the maximum score for each question – some may be weighted more than others (dependent on the main duties and responsibilities of the post)</b>	
<b>Completed By:</b>	
<b>Date:</b>	

## APPENDIX 15 – Post Interview Report

**(To be completed by the Chair of the Panel)**

### Post Details

Job Title		Post Reference	
Div./ Team		Salary Scale	
Department/School			

### Panel Details

Assessment Dates			
Panel: Name / Job Title			

### Assessment Methods

Panel Interview	
References	
Others (please list)	

### Details of Successful Candidate

Name		
Reasons why selected		<b>Score</b>
Have all the essential requirements on the specification been met?      YES / NO		
If no, refer to Human Resources for advice		
Notice required		
Commencing Salary		
Appointment checklist issued		

**Reasons for not appointing other candidates**

No	Name	Comments	Score

**List Candidates who did not attend interview here**

--

**If no appointment was made describe the action to be taken**

--

**Completed By**

Name	
Date	
Job Title	

**NB this form along with all other recruitment paperwork must be kept by the School for a minimum period of 9 months following the interview.**

## APPENDIX 16 – Scope and Content of interviews

### Prior to the interview

Ensure that you hold your interviews in a room where you will not be disturbed by interruptions such as the telephone, individuals knocking on the door and where there is little noise that may distract the candidate and members of the interview panel

### Format of the interview

In order to ensure consistency and fairness throughout the process, the format of the interview should be the same for each candidate. This ensures that candidates are questioned in a similar way and that all candidates are given the same information about the job. However, you may also wish to probe candidates on aspects of their application form.

### Introduction to the interview

The introduction to the interview will vary depending upon the role being advertised. However the basic introduction should cover an introduction to the panel members, an explanation of the format of the interview, and an explanation of the reason why notes are taken during the interview.

### Suggested structure for Interview

1. The Chair of the panel welcomes the candidate into the interview room and thanks them for attending.
2. Chair of the panel to introduce him/herself and members of the interview panel.
3. The Chair of the panel should explain the format and structure of the interview process. It is helpful for a script to be prepared in advance advising the candidates about the following:
  - Approximate length of time allowed for the interview
  - They will be asked a series of questions by the panel
  - The interview questions will require the candidate to demonstrate their answer with some specific examples of their experience in order for the panel to gain as much objective evidence as possible. The candidate will be given time to answer.
  - If the candidate is unsure of the question or is confused, they can ask for clarity or assistance
  - They will be given an opportunity to ask any questions towards the end of the interview
  - They will be required to produce any relevant evidence of qualifications and identity documents at the end of the interview
  - The assessment procedure
  - When a decision is likely to be made, and how it will be communicated to them
  - Details of any presentation, if requested
4. Questions to Candidate
5. Opportunity for Candidate to ask questions of the Panel

6. Chair checks relevant documents to evidence qualifications and identity, etc.
7. Chair closes the interview and thanks the candidate for their time and interest in the post, asks them whether or not they wish to pursue their application and confirms when candidate may expect to be informed of the outcome.

In addition to assessing and evaluating the applicant's suitability for the particular post, the interview panel should also explore:

- the candidate's attitude toward children and young people;
- his or her ability to support the school or college's agenda for safeguarding children;
- gaps in the candidate's employment history; and
- Concerns or discrepancies arising from the information provided by the candidate and/or the referee.

### **Preparing Interview Questions**

Use open questions. Open questions encourage candidates to elaborate and give more information. Closed question only invite a Yes/No answer which will provide limited information and should be used only to confirm basic facts.

The framing of a question is important. Open questions are pre-fixed by words such as what, when, where, why, how, tell me, explain etc. For instance, "Do you think school trips are valuable?" may bring a simple 'yes' or 'no' in reply. The same question rephrased, "What do you consider to be the value of school trips?" will be more likely to elicit a considered reply.

Avoid leading questions which reveal the desired answer, for example: Would you describe yourself as a patient person? Do you see yourself as well organised? Can you handle stress?

All interview questions should relate to the key selection criteria which have been developed from the job Outlines. Develop questions that connect the vacant position to past experiences. Give them situations to solve using examples of past behaviour. Ask how they approached specific tasks, how they overcame any deficiency in the past or dealt with specific situations.

The candidate's attitude to children and young people can be assessed through conversation and careful questioning. A selection of questions which can be used to explore these attitudes is below.

Ask questions about the candidate's aspirations and motivations. Knowing why candidates are interested in the position can provide insight and understanding of the person and how much research they have done about the work involved in the post.

Know the law, taking care that questions do not breach Equal Opportunity legislation and do not discriminate. There is no reason to know someone's age, marital status or sexual preference to determine if they can perform the job and whether they may be of harm to children.

Always probe incomplete answers. Probing questions are the most effective way to get complete answers. Use them where there is a discrepancy between what is said and behaviour, evasion, contradiction and a discrepancy between two answers.

**It is highly recommended that the full list of questions be viewed by all members of the panel prior to questions being agreed**

Care should be taken when agreeing questions. Below are some examples of how a poorly phrased question can be reworded to elicit a more informative reply.

Not	'What do you think about your visit to the School?'
But	You have looked round the school this morning. Would you like to comment on what you have seen?
Not	Do you think you have the skills and experience the job demands?
But	What do you believe are the important tasks facing the successful candidate for this job?
Not	How important is parental contact?
But	In what ways have you worked with parents in your previous posts?
Not	What would you do if you had an irate parent appear in school?
But	Give me an example of a difficult situation you have handled.
Not	What is your attitude to your work?
But	Can you give us some instances of the disappointments and satisfactions you have had in your work in the last year or so?
Not	We have a code of conduct for all our staff. Would you have any problems working to it?
But	We have a code of conduct for all our staff. How do you think this could affect your work?
Not	Why do you think schools have child protection policies?
But	Part of our role in education, is to safeguard and promote the interests of children, what would your role be in this area? What support would you expect?

Other examples

Introductory Question	Tell us about yourself and what attracts you to this position?
General Question	What do you think are the professional challenges facing school staff/ teachers/etc today, especially in a culture, which is seeing so many changes?
Motivation	Tell us about how you think your own childhood may have influenced your practice with young people?  What motivates you to work with children and young people?  Tell us about your interests outside work?

<p>Ability to form and maintain professional relationships and personal boundaries</p>	<p>Can you give us an example of where you have had to deal with bullying behaviour between pupils? What did you do? What could you have done differently?</p> <p>Have you come across sexually abusive behaviour between young people? What behaviours would worry you and why?</p> <p>What are your views about media coverage which suggests that children and young people make up allegations of abuse by teachers?</p>
<p>Attitudes to the care and control of children and young people</p>	<p>When do think it is appropriate to physically intervene in situations involving children and young people?</p> <p>What are your responsibilities in such situations?</p>
<p>Emotional resilience to challenging behaviour and young people</p>	<p>Give an example of when you have had to respond to challenging behaviour, how did it affect you emotionally? What are your coping mechanisms?</p>
<p>Safe Environments</p>	<p>What do you think constitutes a safe and caring environment?</p> <p>What kind of policies should a school/college have to support a safe environment?</p> <p>What do you think are your responsibilities in protecting children?</p>

### Supplementary questions

Asking an open-ended question allows the candidate to provide a general overview of a particular issue. It is then necessary to supplement with more probing follow-up questions. This technique is known as 'funnelling' and serves to provide specific details which the interviewers need to know.

- e.g.
- What made the class/parent difficult?
  - How did you resolve this situation?
  - Would you do anything differently if faced with this situation again?