



# RECRUITMENT AND SELECTION POLICY AND PROCEDURE

**The OHC&AT Board of Directors has agreed this Policy and as such, it applies across the organisation – 16<sup>th</sup> March 2018.**

Jay Mercer  
Chair of OHCAT Board

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Darren Coghlan  
Chair of OHC Board

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# Recruitment and Selection Policy

## INTRODUCTION

Orchard Hill College and Academy Trust (OHC&AT) is committed to providing outstanding educational opportunities for all our pupils and students. Part of that commitment is an undertaking to recruit and retain the highest standard of employees. This policy and procedure sets out OHC&AT's principles and processes for carrying out recruitment and selection. OHC&AT recognises that its employees are fundamental to its success and is committed to recruiting a high quality workforce with appropriate expertise and experience to deliver its strategic objectives and, most importantly, to ensure that all pupils and students have an outstanding experience.

OHC&AT is proactive in promoting diversity and ensuring that difference is recognised and celebrated within the context of fairness and equality. In its recruitment practices OHC&AT will treat all potential employees with dignity and respect, valuing the diversity of all and by doing so appointing the best person for the job.

OHC&AT is committed to safeguarding and promoting the welfare of children, young people and vulnerable adults, and expects all staff, governors and volunteers to share this commitment. OHC&AT will comply with all the relevant legislation, recommendations and guidance published by the Department of Education, Keeping Children Safe in Education (September 2016 – KCSIE), Disqualification under the Childcare Act 2006 (DUCA), the Prevent Guidance for England and Wales (2015) (the Prevent Guidance), the School Staffing (England) Regulations 2009, the Education (Independent School Standards) (England) 2014, and the code of practice published by the Disclosure and Barring Service (DBS).

OHC&AT ensures that it meets its commitment to safeguarding and promoting the welfare of children, young people and vulnerable adults by carrying out the necessary pre-employment checks.

This policy aims to ensure that no applicant receives less favourable treatment on the grounds of race, gender, disability, gender reassignment, age, social class, sexual orientation, religion or belief, marriage and civil partnership, pregnancy and maternity. Flexible recruitment practices may be adopted for those with a disability.

It is the responsibility of every employee involved in recruitment and selection to ensure compliance with this policy. Guidance on the implementation of this policy (known as the Recruitment and Selection Procedure and Disclosure Guidance) is provided in the Appendices.

This policy and procedure applies to all appointments to OHC&AT including fixed term and staff on zero hour contracts. All references to Orchard Hill College and Academy Trust (OHC&AT) include both Orchard Hill College (OHC) and Orchard Hill College Academy Trust (OHCAT) as employers unless otherwise specified.

## **POLICY STATEMENT**

OHC&AT will always seek to recruit the best candidate for the job. Vacancies will be advertised internally across the organisation and most, including leadership vacancies, will be advertised externally using the most appropriate advertising medium. In extenuating circumstances, where there is a proven business case, the Chief Executive Officer may waive the requirement to advertise.

OHC&AT will provide training and support to those involved in recruitment and selection activities.

Recruitment and selection is a key public relations exercise and should enhance the reputation of OHC&AT. All candidates will be treated with respect and courtesy, aiming to ensure that the candidate experience is positive, irrespective of the outcome.

Panel members should not be involved in a recruitment exercise and/or appointment where they are related to an applicant or have a close personal relationship with them outside work.

OHC&AT is a Disability Confident employer. We welcome applications from disabled people and will always seek to ensure that we operate a fair and accessible recruitment and selection process, including making reasonable adjustments where necessary.

All documentation relating to candidates will be treated confidentially in accordance with the Data Protection Act.

## **POLICY REVIEW DETAILS**

<i>Version:</i>	1.1
<i>Reviewer:</i>	Janet Sherborne
<i>Approval body:</i>	Family Board
<i>Date this version approved:</i>	16.03.18
<i>Due for review:</i>	

## **RELATED POLICIES AND PROCEDURES**

Child Protection, Adult Protection and Safeguarding Policy and Procedures  
Data Protection Policy  
Equality and Diversity Policy  
Staff Code of Conduct  
Anti-Radicalisation Policy

## **APPENDIX 1: RECRUITMENT AND SELECTION PROCEDURE**

The following provides information for all recruiters and HR from pre-recruitment to employment. The recruitment and selection checklist in Appendix 2 should be used in conjunction with this procedure.

### **Section 1: Pre-recruitment process**

#### **Job Description and Person Specification**

Before any recruitment activity, it is good practice to review the job description and person specification to ensure they are up to date and an accurate reflection of what the job entails.

The person specification should relate directly to the job description and set out the core qualifications, experience, skills and behaviours required. Some criteria may be desirable rather than essential and it is good practice to highlight this.

If it is a new role, you will need to draft a job description and person specification and OHC&AT Human Resources (HR) can support you with this. Some new roles will need evaluation by the HR team using the job evaluation system.

#### **Advertising the role**

Please discuss with OHC&AT HR how you intend to fill the role. They can advise you on effective ways to attract applicants and different media to use depending on the role.

Where you consider there will be suitable internal applicants, you can advertise internally in the first instance. There is an expectation that leadership vacancies will be advertised externally as well as internally. In particular, all Head/Principal and Deputy Head/Vice Principal roles will be advertised both internally and externally.

In extenuating circumstances the Head/Principal or CEO may waive the need to advertise – you will need their express authority to do this.

#### **The application process**

All applicants will be required to complete an application form containing questions about their academic and employment history and their suitability for the role. Should there be any gaps in academic or employment history, a satisfactory explanation must be provided at interview. A curriculum vitae will not be accepted in place of the completed application form.

#### **Shortlisting**

Shortlisting will be done by at least two people to ensure fairness and consistency and prevent bias.

The panel should agree their criteria and evidence for selecting for interview; these should be objective, relevant to the role and measurable, and against the person specification.

Panel members should use the OHC&AT scoring system and record scores for each candidate. The same scoring method is also used at interview stage. Using these scores you should decide which candidates you wish to put forward to the next stage in the process.

### Other pre-interview screening

The interview panel should scrutinise the application form as a whole, reviewing work history and identifying any gaps, and look to see if the applicant has recently been working abroad. If you have any concerns please discuss these with OHC&AT HR.

### **Selection interviews and testing**

The school or College will make the arrangements for interview and testing in liaison with OHC&AT HR as required. The following will need to be agreed in advance:

- Shortlisted candidates
- Panel names
- Dates and times
- Venue
- Test details
- Student involvement if appropriate
- Interview questions and evidence

There are many tests available to enhance the recruitment process, and OHC&AT HR will be able to advise on this. It is helpful to use testing for certain criteria alongside a face to face interview e.g. measuring by observation how a candidate interacts with students.

Interviews should be structured and led by the Chair of the panel. All questions must be objective and relevant to the role. You may also agree some follow up or probing questions to be used as appropriate. It is important to be consistent in your questioning to ensure fairness and avoid bias with candidates. At least one member of the panel must have had safer recruitment training.

You should measure the candidate's attitude and values regarding key concepts such as safeguarding, equality and diversity and the Prevent duty during the interview.

If there are any unexplained gaps in employment history, then this should be explained at interview and documented. Further checks should be made as appropriate.

Candidates will be asked to bring to interview their passport and/or birth certificate and evidence required for the DBS, right to work and identity check, together with proof of any relevant qualifications.

You should score the candidates against the agreed framework using the points system. This should be discussed and agreed by the whole panel for both interview and tests. The Chair will have the final decision.

## Section 2: Employment Offer

Following the interview, the lead manager or HR will telephone the successful candidate to make the conditional job offer, and all other candidates to inform them that they were unsuccessful on this occasion. All offers are made subject to clearances. For unsuccessful candidates their personal documents will be shredded immediately.

The following checks **must** be completed before anyone starts work in an OHC&AT setting. The only exception is set out on p7 under 'Starting work pending receipt of the DBS Disclosure'. This follows the regulatory framework set out in Keeping Children Safe in Education (2016).

If it is decided to make an offer of employment following the formal interview, any such offer will be conditional on the following:

- the agreement of a mutually acceptable start date and the signing of a contract,
- verification of the applicant's identity and right to work (this should have already been seen);
- verification of qualifications, whether professional or otherwise, which OHC&AT takes into account in making the appointment decision, or which are referred to in the application form, whether a requirement for the role or not;
- verification of the applicant's employment history;
- the receipt of two satisfactory references (one of which must be from the applicant's most recent employer);
- for positions which involve "teaching work", information about whether the applicant has ever been referred to, or is the subject of a sanction, restriction or prohibition issued by the National College for Teaching and Leadership (NCTL) which renders them unable or unsuitable to work at OHC&AT;
- for applicants who have carried out teaching work outside the UK, information about whether the applicant has ever been referred to, or is the subject of a sanction issued by a regulator of the teaching profession in any other country which renders them unable or unsuitable to work at OHC&AT;
- where the position amounts to "regulated activity", the receipt of a satisfactory enhanced disclosure from the DBS;
- information about whether the applicant has ever been subject to a direction under section 142 of the Education Act 2002 which renders them unable or unsuitable to work in a OHC&AT setting
- for management positions in the Academies, information about whether the applicant has ever been referred to the Department for Education, or is the subject of a direction under section 128 of the Education and Skills Act 2008 which renders them unable or unsuitable to work at the Academy;
- confirmation that the applicant is not disqualified from working in connection with early or later years provision (DUCA);

- verification of the applicant's medical fitness for the role;
- any further checks which OHC&AT decides are necessary as a result of the applicant having lived or worked outside of the UK, which may include an overseas criminal records check, certificate of good conduct or professional references.

### **Section 3: Pre-Employment Checks**

This section details all the checks that must take place prior to a candidate starting in post.

In accordance with the recommendations set out in KCSIE, DUCA and the requirements of the Education (Independent School Standards) Regulations 2014, OHC&AT carries out a number of pre-employment checks in respect of all prospective employees.

In addition to the checks set out below, OHC&AT reserves the right to obtain such formal or informal background information about an applicant as is reasonable in the circumstances to determine whether they are suitable to work for OHC&AT. This may include internet and social media searches.

In fulfilling its obligations OHC&AT does not discriminate on the grounds of race, colour, nationality, ethnic or national origin, religion or religious belief, sex or sexual orientation, marital or civil partner status, disability or age.

#### **Verification of identity, address and qualifications**

All applicants who are invited to an interview will be required to bring with them evidence of identity, right to work in the UK, address and any qualifications relevant to the job.

Where an applicant claims to have changed their name by deed poll or any other means (e.g. marriage, adoption, statutory declaration) they will be required to provide documentary evidence of the change.

#### **References**

References will be taken up on shortlisted applicants wherever possible prior to interview. Please note that no questions will be asked about health or medical fitness prior to any offer of employment being made.

All offers of employment will be subject to the receipt of a minimum of two references which are considered satisfactory by OHC&AT.

All referees will be asked whether they believe the applicant is suitable for the job for which they have applied and whether they have any reason to believe that the

applicant is unsuitable to work with children. All referees will be sent a copy of the job description and person specification for the role for which the applicant has applied.

OHC&AT will only accept references obtained directly from the referee.

OHC&AT will compare all references with any information given on the application form. Any discrepancies or inconsistencies in the information will be taken up with the applicant and the relevant referee before any appointment is confirmed.

Where a reference is not received prior to interview it will be reviewed upon receipt. Any discrepancies identified between the reference and the application form and/or the interview assessment form will be considered by the College/Academy and/or OHC&AT HR. The applicant may be asked to provide further information or clarification before an appointment can be confirmed.

If factual references are received i.e. those which contain limited information such as job title and dates of employment, this will not necessarily disadvantage an applicant although additional references may be sought before an appointment can be confirmed.

OHC&AT may at its discretion make telephone contact with any referee to verify the details of the written reference provided.

No candidate may start work at an OHC&AT setting until two satisfactory references have been received.

### **Criminal records check**

OHC&AT will apply for an enhanced disclosure from the DBS and a check of the Children's Barred List (now known as an Enhanced Check for Regulated Activity) in respect of all positions at the College/Academy which amount to "regulated activity" as defined in the Safeguarding Vulnerable Groups Act 2006 (as amended). The purpose of carrying out an Enhanced Check for Regulated Activity is to identify whether an applicant is barred from working with children by inclusion on the Children's or Adults' Barred List and to obtain other relevant suitability information.

The DBS issues the DBS disclosure certificate to the subject of the check only, rather than to OHC&AT. It is a condition of employment with the College/Academy that the **original** disclosure certificate is provided to OHC&AT as soon as practical after the certificate is received.

Employment will remain conditional upon the original certificate being provided and it being considered satisfactory by the College/Academy.

### **Starting work pending receipt of the DBS Disclosure**

If there is a delay in receiving a DBS disclosure the Head/Principal has discretion to allow an individual to begin work pending receipt of the disclosure certificate. This will only be allowed if **all other checks**, including a clear check of the Children and Adults'



Barred List (where the position amounts to regulated activity) and receipt of satisfactory references, have been completed and once appropriate supervision has been put in place. Appendix 3 provides a risk assessment which must be completed and signed prior to the start of employment. Final authorisation will be required by OHC&AT HR.

### **Applicants with periods of overseas residence**

Where applicants are asked to provide further overseas information this will include a criminal records check from the relevant jurisdiction(s) or a certificate of good conduct (as appropriate) and / or references from any employment held.

Work can only commence once sufficient overseas information has been received and only if OHC&AT has considered that information and confirmed that the applicant is suitable to commence work at the College/Academy.

### **Prohibition from teaching check (Academies only)**

OHC&AT will check whether staff who carry out "teaching work" as defined in Keeping Children Safe in Education (2016) are prohibited from doing so. OHC&AT uses the NCTL Teacher Services system to check whether successful applicants are the subject of a prohibition, or interim prohibition order issued by a professional conduct panel on behalf of the NCTL.

### **EEA Sanction check**

In addition, for all appointments made on or after 18<sup>th</sup> January 2016, where an applicant has carried out teaching work outside of the UK, OHC&AT will include checking for the existence of any sanctions issued by regulators of the teaching profession in other EEA countries using the NCTL Teacher Services system.

### **Prohibition from management check**

For academies, OHC&AT is required to check whether any applicant for a management position is subject to a direction under section 128 of the Education and Skills Act 2008 which prohibits, disqualifies or restricts them from being involved in the management of an Academy (a **section 128 direction**).

This check applies to appointments to management positions within Academies made on or after 12<sup>th</sup> August 2015:

The relevant information is contained in the enhanced DBS disclosure certificate (using the management check). It can also be obtained through the NCTL Teacher Services system. OHC&AT will use either, or both, methods to obtain this information.

### **Childcare disqualification**

The Childcare Act 2006 (Act) and the Childcare (Disqualification) Regulations 2009 (Regulations) state that it is an offence for the Academy to employ anyone in

connection with our early years provision (EYP) or later years provision (LYP) who is disqualified, or for a disqualified person to be directly involved in the management of EYP or LYP. The definitions are:

- (a) *EYP includes usual school activities and any other supervised activity for a child up to 1 September after the child's 5th birthday, which takes place on the school premises during or outside of the normal school day;*
- (b) *LYP includes provision for children not in EYP and under the age of 8 which takes place on school premises outside of the normal school day, including, for example breakfast clubs, after school clubs and holiday clubs. It does not include extended school hours for co-curricular activities such as sports activities.*

All applicants to whom an offer of employment is made to carry out a relevant role in EYP or LYP will be required to complete a Self-Declaration Form confirming whether they, or anyone in their household, meet any of the criteria for disqualification under the Regulations.

### **Medical fitness**

OHC&AT will ask all applicants to whom an offer of employment is made to complete a Health Questionnaire. OHC&AT will arrange for the information contained in the Health Questionnaire to be reviewed by OHC&AT's occupational health advisor. If OHC&AT's occupational health advisor has any doubts about an applicant's fitness, OHC&AT will consider reasonable adjustments in consultation with the applicant. OHC&AT may also seek a further medical opinion from a specialist or request that the applicant undertakes a full medical assessment.

OHC&AT is aware of its duties under the Equality Act 2010. No job offer will be withdrawn without first consulting with the applicant, obtaining medical evidence, considering reasonable adjustments and suitable alternative employment.

## **Section 4: Contractors, agency staff, volunteers, governors and visiting speakers**

### **Contractors and agency staff**

Contractors providing a service to OHC&AT will be required to attend College/Academy centres outside of school hours, preventing contact with students/pupils. In the event that regulated activity is necessary, the Company will be required to complete enhanced DBS checks (as a minimum a current barred list check and a risk assessment is required – individuals within this criteria must be accompanied at all times), providing a list of employees/contractors to OHC&AT who will verify identification prior to access being approved.

Agencies who supply staff to OHC&AT must also complete the pre-employment checks which OHC&AT would otherwise complete for its staff. Again, OHC&AT requires confirmation that these checks have been completed before an individual can commence work at the College/Academy.

OHC&AT will independently verify the identity of individuals supplied by contractors or an agency above and requires the provision of the DBS disclosure certificate before those individuals can commence work.

### **Governors and volunteers**

OHC&AT will request an enhanced DBS disclosure from all governors as well as volunteers undertaking regulated activity with pupils/students at or on behalf of the College/Academy.

Under no circumstances will OHC&AT permit an unchecked governor or volunteer to have unsupervised contact with pupils/students.

It is OHC&AT's policy that a new DBS certificate is required for volunteers who will engage in regulated activity but who have not been involved in any activities with the College/Academy for three consecutive months or more. Those volunteers who are likely to be involved in activities with the College/Academy on a regular basis may be required to sign up to the DBS update service as this permits the OHC&AT to obtain up to date criminal records information without delay prior to each new activity in which a volunteer participates.

In addition, OHC&AT will seek to obtain such further suitability information about a volunteer as it considers appropriate in the circumstances. This may include taking up references and requesting evidence of right to work.

### **Visiting speakers and the Prevent Duty**

The Prevent Duty Guidance requires OHC&AT to have clear protocols for ensuring that any visiting speakers, whether invited by staff or by pupils, are both suitable and appropriately supervised.

OHC&AT is not permitted to obtain a DBS disclosure or Children's Barred List information on any visiting speaker who does not engage in regulated activity at the College/Academy or perform any other regular duties for or on behalf of the Academy. All visiting speakers will be subject to the College/Academies' procedures which will include signing in and out at Reception, the wearing of a visitor's badge at all times and being escorted by a fully vetted member of staff between appointments.

OHC&AT will also obtain such formal or informal background information about a visiting speaker as is reasonable in the circumstances to decide whether to invite and/or permit a speaker to attend the College/Academy. In doing so the College/Academy will always have regard to the Prevent Duty Guidance and the definition of "extremism" set out in KCSIE which states:

*"Extremism" is vocal or active opposition to fundamental British values, including democracy, the rule of law, individual liberty and mutual respect and tolerance of different faiths and beliefs. We also include in our definition of extremism calls for the*

*death of members of our armed forces, whether in this country or overseas. Terrorist groups very often draw on extremist ideas developed by extremist organisations."*

In fulfilling its Prevent Duty obligations OHC&AT does not discriminate on the grounds of race, colour, nationality, ethnic or national origin, religion or religious belief, sex or sexual orientation, marital or civil partner status, disability or age.

## **Section 5: Retention and security of disclosure information**

OHC&AT's policy is to observe the guidance issued or supported by the DBS on the use of disclosure information and will not store disclosure information for longer than six months.

OHC&AT is legally required to undertake the above pre-employment checks. Therefore, if an applicant is successful in their application, the College/Academy will retain on their personnel file any relevant information provided as part of the application process. This will include copies of documents used to verify identity, right to work in the UK, medical fitness and qualifications. Medical information may be used to help OHC&AT to discharge its obligations as an employer e.g. so that OHC&AT may consider reasonable adjustments if an employee has a disability, or to assist with any other workplace issue.

This documentation will be retained by OHC&AT for the duration of the successful applicant's employment with the College/Academy. It will be retained in accordance with OHC&AT's retention of records schedule after employment terminates.

If the application is unsuccessful, all documentation relating to the DBS application will be shredded immediately.

The same policy applies to any suitability information obtained about volunteers involved with OHC&AT activities.

## APPENDIX 2: RECRUITMENT CHECKLIST

Action	Form	Date completed	Completed by (please initial)
Draft job description			
Draft person specification			
Advertisement approved			
Advertisement placed			
Send to applicant [or make available for download from website]: <ul style="list-style-type: none"> <li>• application form</li> <li>• job description</li> <li>• person specification</li> <li>• Any other relevant information</li> </ul>	A1		
Received from applicant completed: <ul style="list-style-type: none"> <li>• application form</li> </ul>			
Complete shortlisting assessment form	A2		
Send reference request letter and form (if references sought at this stage no questions can be asked about health or disability)	A3		
<b>Proceed with the recruitment?</b>			
Invitation to interview letter sent to applicant	R1		
The Interview Day			
A member of the panel collects <ul style="list-style-type: none"> <li>• <b>identity information (usually Passport)</b></li> <li>• <b>Right to work (usually Passport or full birth certificate)</b></li> <li>• <b>qualification documentation as required by the post</b></li> <li>• DBS disclosure application form which the candidate completes – all documents should be verified with the staff name's signature, in the case of passports, I certify this is a true likeness of xxxxx and date.</li> </ul> <p>Note – please advise candidates that their documents will be shredded if they are unsuccessful</p>	R2		

Action	Form	Date completed	Completed by (please initial)
Check that a full employment history has been provided. If not, or if any gaps in the applicant's employment history have been identified, check why this is and make a note on the interview notes.	R3		
Check whether the applicant has lived or worked overseas? Consider whether overseas checks will be required if an offer of employment is made. If yes, what information will be requested and from which countries: <ul style="list-style-type: none"> <li>• criminal records check</li> <li>• certificate of good conduct</li> <li>• references</li> </ul>			
Conduct interview			
Complete interview assessment form	R4		
<b>Proceed with the recruitment?</b> Send rejection letter	R5		
Conditional offer of employment made. Applicant provided with: <ul style="list-style-type: none"> <li>• Childcare disqualification self-declaration form (for relevant roles in Early or Later Years Provision only)</li> </ul>	R6		
Offer accepted.  Send to successful candidate Medical Declaration form Childcare disqualification self-declaration form (for relevant roles in Early or Later Years Provision only)			
Send health questionnaire to medical advisor			
Conduct prohibition order check with Teacher Services (if applicant will carry out teaching work)			
Conduct prohibition from management check with Teacher Services (if the position is a management role) – Academies only			
Conduct EEA teaching sanction check with Teacher Services (if applicant has carried out teaching work outside of the UK) – Academies only			
Send DBS disclosure application form to DBS			

Action	Form	Date completed	Completed by (please initial)
Request overseas information in respect of any relevant periods of overseas residence previously identified prior to interview (see above)			
Check whether the childcare disqualification self-declaration form discloses any information which could result in disqualification. If it does, consider whether the appointment can proceed and/or whether a waiver application is necessary or whether the offer should be withdrawn			
Send reference request letter and form (if not already completed at shortlisting stage). NB: the reference request letter must ask all referees to state any known reason why the applicant is unsuitable to work with children and that there should be no material misstatement or omission relevant to the suitability of the applicant.	A3		
First reference received <b>Are there any gaps, inconsistencies or anomalies in the information provided?</b>			
<b>First reference approved</b>			
Second reference received <b>Are there any gaps, inconsistencies or anomalies in the information provided?</b>			
<b>Second reference approved</b>			
<b>Original DBS disclosure certificate seen by College/Academy</b> Disclosure reference number: ----- <b>If this is a positive disclosure, the positive DBS consideration form should be completed.</b>	D1		
Does the DBS disclosure contain any information about the applicant being subject to a direction under section 142 of the Education Act 2002? If yes, can the appointment proceed?			

Action	Form	Date completed	Completed by (please initial)
<p><b>Section 128a (Academies only)</b>            If recruiting for a management role does the DBS disclosure contain any information about the applicant being subject to a direction under section 128 of the Education and Skills Act 2008 which prohibits, disqualifies or restricts them being involved in the management of an independent school (Academy)?            If yes, can the appointment proceed?</p>			
<p><b>Employment medical report received:</b>            Verified as medically fit or are further enquiries required</p>			
<p><b>Proceed with the recruitment?</b></p>			
<p>Send to applicant:</p> <ul style="list-style-type: none"> <li>• contract of employment</li> <li>• Staff Code of Conduct</li> <li>• Child Protection Safeguarding Policy</li> <li>• Anti-Radicalisation Policy</li> <li>• Keeping Children Safe in Education Part 1 (Sept 2016)</li> </ul>			
<p>Received from applicant:</p> <ul style="list-style-type: none"> <li>• signed contract of employment</li> <li>• Signed copy to that they have read Staff Code of Conduct, Child Protection Safeguarding Policy, Anti-Radicalisation Policy and Keeping Children Safe in Education Part 1 (Sept 2016)</li> </ul>			
<p>Note: if all documentation has been received but not the DBS form, then if there is a sound educational or business case a Barred List check can be requested.</p> <p><b>Enter Barred List check date on SCR</b></p> <p>If the list is satisfactory then, a risk assessment should be completed pending the DBS</p>	RA1		
<p>Complete single central register using Dates completed columns above for all the SCR checks (in bold)</p>			

Checked by  
Name

Date



**APPENDIX 3: RISK ASSESSMENT FORM – EMPLOYMENT AHEAD OF DBS CHECK**

*When completing the section below, please refer to the guidance notes and reference table.*

**SECTION A: Checklist**

EMPLOYEE: ..... DATE OF ASSESSMENT: .....

POST ASSESSED: .....

<b>Checks completed</b>	<b>Yes</b>	<b>No</b>
Face to face interview		
Barred List		
All other clearances listed in Appendix 2		
Two references and a check covering 5 years' full time employment		
Are there any unexplained gaps in employment?		
Evidence of eligibility to work in the UK		

**SECTION B: Control measures**

What control measures have been put in place to mitigate the risk of this employee commencing employment prior to full DBS clearance being received?

<b>Control measures</b>	<b>Yes</b>	<b>No</b>
All recommended control measures in place (see attached)*		
Is the new employee able to adhere to the control measures noted above?		

\* If no, describe overleaf what measures have been put in place for minimise/offset risk.

**SECTION C: Reason for appointment prior to DBS clearance**

Please explain why it can be shown that not to employ the member of staff prior to clearance will have a significantly deleterious effect on the business of the organisation (continue overleaf if necessary). Give the date the DBS check was requested and when it is expected.

.....  
 .....

.....

.....

.....

.....

Manager's name:

Job title:

Signed:

Date:

**SECTION D: Approval**

Appointment prior to DBS check approved/not approved (delete as appropriate).

Rationale for decision:

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.....

.....

.....

**Risk Assessment Form A**

**Activity/Person/Area Assessed:**

Name(s) of assessor:	Reference number:
Date of Assessment:	Review Date:

No.	Hazard	People at risk	Existing control measure	Risk Rating: Red, Amber, Green
1				
2				
3				
4				
5				
6				
7				
8				
9				

Risk Rating:

High = current controls totally inadequate with serious consequences

Medium = current controls still poor but consequences less serious

Low = current controls are adequate to minimise the risk so far as reasonably practicable

Probability	3	3	6	9
	2	2	4	6
	1	1	2	3
		1	2	3
		Impact		

**Action required:** Yes/No (delete as appropriate)

**If action is required please fill in Form B below.**

**Risk Assessment Form B**

Hazard No	Action Required	By whom	Target date	Completion date

On completion date, please update the risk assessment form.

Manager's name:

Job title:

Signed:

Date: