
RECRUITMENT AND SELECTION POLICY AND PROCEDURE

In keeping with the Ashington Learning Partnership's (ALP) other policies and procedures, this document is issued for guidance and is not intended to have contractual effect. The ALP reserves the right to vary, amend or depart from the contents of this policy and procedure from time to time in appropriate circumstances.

The ALP:

- is committed to safeguarding and promoting the welfare of children.
- recognises that it is of fundamental importance to attract, recruit and retain staff and volunteers of the highest calibre who share this commitment.
- aims to recruit staff that share and understand our commitment and to ensure that no job applicant is treated unfairly by reason of a protected characteristic as defined within the Equality Act 2010.
- will base selection processes only on a candidate's ability to do the job and his or her ability to make an effective contribution to the operation and further development of the ALP.

This document applies to all staff and governors responsible for, and involved in, the recruitment and selection of all employees.

1. Principles

The principles of the ALP's recruitment and selection policy and procedures are:

- To ensure that the safeguarding and welfare of children occurs at each stage of the process;
- To ensure that the best possible staff are recruited on the basis of their merits, abilities and suitability for the position;
- To ensure that all job applicants are considered equitably and consistently;
- To ensure compliance with all recommendations issued by the Department for Education (DfE), the Disclosure and Barring Service (DBS) and current legislation.

2. Advertising

To ensure equality of opportunity, the ALP will advertise all vacant posts to encourage as wide a field of applicant as possible; usually this entails an external advertisement. All external advertisements will make clear the ALP's commitment to safeguarding and promoting the welfare of children.

Internal vacancies will be emailed to all ALP staff. For external positions a variety of advertising mediums may be used. The ALP may choose to use an external recruitment service to assist with the recruitment process, though this is not usual practice. Positions may be simultaneously advertised internally and externally.

3. Application Forms

The ALP uses its own application form (see Appendix 1) and all applicants for employment will be required to complete an application form containing questions about their academic and full employment history as well as their suitability for the role. In addition all applicants are required to account for any gaps or discrepancies in employment history. Incomplete application forms will not be short-listed.

The application form will include the applicant's declaration regarding convictions and working with children.

CVs will never be accepted.

4. Job Descriptions and Person Specifications

A job description is a key document in the recruitment process, and must be finalised, including job evaluation for support staff posts for any role in the ALP. Where appropriate, prior to taking any other steps in the recruitment process. It will clearly and accurately set out the duties and responsibilities of the job role. The person specification is of equal importance and informs the selection decision. It details the minimum level of skills, experience, abilities and expertise that are required to do the job.

Job descriptions include information on safeguarding.

5. References

References for short-listed applicants will be sent for prior to interview. All offers of employment will be subject to the receipt of two references which are considered satisfactory by the ALP. One of the references must be from the applicant's current or most recent employer. If the current/most recent employment does not involve work with children, then the second reference should be from the employer with whom the applicant most recently worked with children.

References will always be sought and obtained directly from the referee and their purpose is to provide objective and factual information to support appointment decisions. 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.

No questions will be asked about health or medical fitness prior to any offer of employment being made.

Applications will be scrutinised and any discrepancies or anomalies will be followed up. Direct contact by phone may be undertaken with referees to verify the reference.

The ALP does not accept open references, testimonials or references from relatives.

6. Short-listing

The basis for short-listing will be the matching of information from a candidate's written application, assessed against the requirements of the person specification for the job. No additional criteria should be introduced at the short-listing stage.

The short-listing process must be undertaken on a fair and consistent basis. Usually, no-one should be short-listed who does not, as a minimum, meet the defined essential criteria within the person specification.

No person who has a close personal relationship with a candidate for a specific job, may short-list for the job, or be on the appointing panel unless they have declared the relationship to the Executive Principal (EP) and Schools' Business Manager (SBM). In addition, where a candidate is known personally to a member of the selection panel this should also be declared

before short-listing takes place. It may then be necessary to change the selection panel to ensure that there is no conflict of interest and that equal opportunities principles are adhered to.

Short-listing will be carried out by a minimum of two people, one of whom will, wherever possible, be the line manager to whom the successful candidate will report. At least one person involved in short-listing will have received Safer Recruitment training. At least one of the people involved in the short-listing will have an understanding of equalities.

The reasons for not short-listing a particular candidate should be clearly recorded. Successful candidates will be contacted and invited to attend for interview using model letter at Appendix 7. Minutes will be kept from the short-listing meeting.

7. Interviews

There will always be a face-to-face interview and, wherever possible, a minimum of three interviewers will see the applicants for the vacant position.

The interview process will explore the applicant's ability to carry out the job description and meet the person specification. It will enable the ALP to explore any anomalies or gaps identified in order to satisfy themselves that the chosen applicant can meet the safeguarding criteria. Questions relating to child protection and safeguarding will be covered in every interview.

At least one member of any interviewing panel will have undertaken accredited Safer Recruitment training and all should have an awareness of recruiting sections of the DfE guidance in the document 'Keeping Children Safe in Education'.

Notes of the interviews will be taken by the recruiting panel. All applicants who are invited to an interview will be required to bring evidence of their identity, address, qualifications and proof of his/her right to work in the UK. Original documents only will be accepted.

Where appropriate, a presentation, lesson observations, work based skills tests etc. relevant to the vacancy will also form part of the selection process.

8. Pre-employment Checks

Any provisional verbal offer of employment will be confirmed in writing to the successful applicant by the SBM within 5 working days. Any offer of employment will be conditional on the following:

- The agreement of a mutually acceptable start date;
- Verification of the applicant's identity;
- The receipt of two satisfactory references (one of which must be from the applicant's most recent employer);
- the ALP being satisfied that the applicant is not, and has never been, the subject of a sanction, restriction or prohibition, which prevents the applicant working at the ALP or which renders the applicant unsuitable to work at the ALP;
- the ALP being satisfied that the applicant is not, and has never been, the subject of any proceedings before a professional conduct panel or equivalent body in the UK or any other country for any reason which prevents the applicant working at the ALP or which, in the ALP's opinion, renders the applicant unsuitable to work at the ALP;

- Where the position amounts to "regulated activity" the receipt of an enhanced disclosure from the DBS which the ALP considers to be satisfactory;
- Where the position amounts to "regulated activity" (see section 12) confirmation that the applicant is not named on the Children's Barred List;
- Verification of the applicant's medical fitness for the role;
- Any further checks which are necessary as a result of the applicant having lived or worked outside of the UK.

9. DBS (Disclosure and Barring Service)

9.1 DBS Certificate

It is unlawful for the ALP to employ anyone who is barred from working with children. All applicants will be made aware that providing false information is an offence and could result in the application being rejected or summary dismissal if the applicant has already been selected, and referral to the police and/or the DBS.

Further information can be found in the Criminal Convictions Code of Practice at Appendix 18.

10. Proof of identity, Right to Work in the UK and Verification of Qualifications and/or professional status

All applicants invited to attend an interview at the ALP will be required to bring their identification documentation such as passport, birth certificate and driving licence with them as proof of identity/eligibility to work in UK in accordance with those set out in the Immigration, Asylum and Nationality Act 2006. This will be checked prior to the interview taking place.

11. Medical Fitness

The ALP will only verify the medical fitness of someone to be appointed to a post, after an offer of employment has been made but before the appointment has been confirmed. The successful applicant will be required to complete a medical questionnaire and where appropriate a doctor's medical report may be required. This information will be reviewed against the job description and the person specification for the particular role, together with details of any other physical or mental requirements of the role.

No job offer will be withdrawn without first consulting with the applicant, obtaining medical evidence, and considering reasonable adjustments and suitable alternative employment.

12. Overseas Checks

Applicants who have lived/travelled abroad for more than 3 months will need to obtain criminal records check from the relevant country. The applicant will not be permitted to commence work until the overseas information has been received and is considered satisfactory by the ALP. Ex-service personnel and their families are not required to provide overseas information.

13. Induction Programme

All new staff will be given an induction which will clearly identify the ALP policies and procedures, including the Safeguarding Policy, the Behaviour Policy, Part One of Keeping Children Safe in Education and Staff Code of Conduct, and make clear the expectations which will govern how staff carry out their roles and responsibilities. Staff will be made aware of the culture of vigilance existing in the ALP in relation to safeguarding.

14. Single Central Record (SCR)

In addition to the various staff records kept by the ALP on individual personnel files, a SCR of recruitment and vetting checks will be maintained. This will contain details of the following:

- All employees who are employed to work at the ALP;
- All employees who are employed as supply staff to the ALP;
- All peripatetic and consultant staff working at the ALP;
- Coaches (such as sports coaches) brought in by the ALP to work with pupils;
- Volunteers who may be in regulated activity and for whom therefore checks have been completed;
- All governors of the ALP.

The Safeguarding Governor will be responsible for auditing the SCR reporting his/her findings to the Governing Body at least annually.

15. Agency Staff and Contractors

Agencies who supply staff to the ALP must also complete the pre-employment checks which the ALP would otherwise complete for its staff. The ALP will confirm that these checks have been completed before an individual can commence work at the ALP.

The ALP will independently verify the identity of staff supplied by contractors or an agency on their first day of working at the ALP.

Contractors who come on site only to carry out emergency repairs or service equipment and who are not expected to be left unsupervised on the ALP's premises do not need a DBS Disclosure.

The ALP has a colour coded visitor lanyard system in place as follows:

- Red: no checks have been carried out e.g. parents, contractors, etc.
- Amber: DBS checks are in place but have not been seen e.g. health professionals.
- Green: DBS checks are in place and have been seen by admin e.g. supply teachers.

16. Volunteers

The ALP will request the following checks on all volunteers who are involved on a regular basis, undertaking regulated activity or accompanying children on an overnight trip:

- Identity checks;
- Enhanced DBS Disclosure;
- Barred List check;
- Qualifications, if applicable; and
- References.

Appropriate risk assessments and/or additional supervision will be planned to ensure safety as necessary. Under no circumstances will the ALP permit an unchecked volunteer to have unsupervised contact with pupils.

See Volunteers Procedures for further information.

17. Data protection and Retention of Records

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

Records relating to the successful applicant will be retained on the employees' personnel file for the duration of their employment and in accordance with legislative requirements, once the employment has ended.

Unsuccessful applicants' documents will be destroyed six months after the recruitment process is concluded. See Data Protection Policy and Record and Retention Procedures for further information.

18. Legal Framework

18.1 This policy has due regard to all relevant legislation including, but not limited to the following:

- Children Act 1989 & 2004
- Safeguarding Vulnerable Groups Act 2006
- The Education (School Teachers' Appraisal) (England) Regulations 2012 (as amended)
- Sexual Offences Act 2003
- The School Staffing (England) Regulations 2009
- Rehabilitation of Offenders Act 1974
- Education and Skills Act 2008
- Data Protection Act 2018
- Education Act 2002
- Equality Act 2010

18.2 This policy has due regard to guidance including, but not limited to, the following:

- DfE (2018) 'Keeping Children Safe in Education'
- DfE (2017) 'Staffing and Employment Advice for Schools'

Created ☐ Reviewed ☒	
Signed: AD	Name: Angela Dyer
Role: Business Manager	Date: June 2022
Adopted	
Signed: GC	Name: Gemma Craik
Role: Chair, Finance & Resources Committee	Date: June 22

Linked Documents:

Data Protection Policy
Equality Policy (Staff)
Record Retention Procedures
Safeguarding & Child Protection Policy
Volunteer Procedures

Appendices:

1. Recruitment Checklist – **TO BE COMPLETED FOR EVERY VACANCY**
2. Recruitment and Selection Code of Practice
- 3a. Application Form – Teaching
- 3b. Application Form – Support
- 4a. Privacy Notice – Applicants
- 4b. Privacy Notice – Volunteers
5. Short-listing Matrix
6. Short-listing Meeting Minutes
7. Invite to Interview Letter
8. Reference Request Letter
- 9a. Reference Request Form – Teaching
- 9b. Reference Request Form – Support
- 9c. Reference Request Form – Personal
10. Reference Verification Form
11. Reference Verification – Right to Work in UK / Qualifications
12. Blank Interview Grid
13. Appointment Meetings Minutes Form
14. Letter Requesting Absence Information
15. Conditional Letter of Employment 1
16. Conditional Letter of Employment 2 (DBS)
- 17a. Criminal Convictions Code of Practice
- 17b. Criminal Convictions Code of Practice – Governors
- 18a. Flowchart 1 – Criminal Records Checks
- 18b. Flowchart 2 – DBS Update Checks
- 18c. DBS requirements for volunteers
19. Guidance on Checking DBS Certificates
20. Criminal Records Respite Form
21. Appointment Checklist
22. Confirmation that All Pre-Employment Checks Complete
23. Roles and Responsibilities
24. Definitions

Recruitment Checklist

Vacancy

Action		By Whom	Completed Date
1.	Define the vacancy (see staffing structure attached to Pay Policy). Agree Job Description and Person Specification (keep awareness of job evaluation process and need for generic job description). JD&PS references safeguarding children Create advert & any additional supporting information for Application Pack. Safeguarding statement contained in advert Agree Recruitment Timetable – see Section 4 Agree closing date (14 days after advert goes live) Agree interview date	EP/SBM EP/SBM SBM SBM SBM SBM	
2.	Read Recruitment and Selection COP Appendix 1 and whole , Safer Recruitment Procedures. Compile Application Pack (Application Form and Guidance, JD&PS, Safeguarding Policy, Equality Policy, Teachers Pay Arrangements Information, Welcome Letter, Privacy Notice (Applicants) any other information). Send advert and Application Pack to EduCoHR for uploading Create Recruitment File (to be kept for at least 4 months following appointment) – use master checklist	SBM/Admin/Panel SBM Admin Admin	
3.	Agree Panel (see Section 7). Minimum 3 - at least one person trained in Safer Recruitment Agree interview process. Agree interview questions (to include safeguarding & British Values) and pass all info to Admin.	SBM SBM SBM	
4.	Closing Date: Complete short-listing matrix with applicants names and send to panel Provide short-listing pack to panel Short-listing (using matrix and keep written notes of discussions – minimum 2 people) – pass to Admin Complete Short-listing Minutes (Appendix 6, signed by Chair and pass to Admin for retention in Recruitment File. Pass unsuccessful applications to Admin for retention in Recruitment File. Invite candidates to interview (using model letter – see Appendix 7). Verify references on Reference Verification Form Send for references (using model letter / forms – see Appendix 9). Complete interview packs (copy of application form, any references received, questions grid, any other information for each panel member (an indication of any gaps in employments that need to be explored)).	Admin Admin Panel Panel Panel Admin/SBM Admin Admin Admin	

Action		By Whom	Completed Date
5.	Interview: Check 'right to work in UK/qualifications' – keep copies. Complete verification form and give to panel. Interviewer to complete question grid and any other paperwork, keeping full notes. Complete Interview Minutes (see Appendix 13) signed by Chair, and pass to Admin for retention in Recruitment File. All interview packs and information to be returned to Admin.	Admin Panel Panel Panel	
6.	Post Interview Send Conditional Offer of Employment 1 to successful candidate signed by SBM (model letter - see Appendix 15). Recruitment File filed away (4 months retention minimum). Now follow Appointment Checklist sheet (see Appendix 23). When response to letter 1 received, send letter 2 (model letter Appendix 16)	Admin/SBM Admin Admin Admin/SBM	

7. Panel (minimum 3 people - odd number preferred): Chair 	Safer Recruitment Trained ✓/ X ☐ Date ☐ Date ☐ Date ☐ Date ☐ Date
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Signed:

..... Administrator (HR)	(Date)
.....	
..... (Business Manager)	(Date)

Recruitment and Selection Code of Practice

The code applies to the recruitment and selection of all employees appointed by the ALP, whether permanent or fixed-term and full-time or part-time. Specific requirements apply to the recruitment of Executive Principal.

The purpose of this code is to ensure that the recruitment and selection process is carried out in a fair, efficient and cost-effective manner and takes account of relevant legislation and the school's equality procedures. It will assist everyone involved in the recruitment and selection process to understand their role and responsibilities, and enable them to follow a fair procedure that does not unlawfully discriminate on the basis of characteristics that are protected.

1. Application of the recruitment and selection procedure

ALP schools will apply the recruitment and selection process as follows: all stages of the recruitment and selection process will apply to all paid employees.

The school does not need to apply the recruitment and selection process where:

- a volunteer is used on a one-off basis, for example accompanying a school trip or helping at a school event, provided that the person is not to be left alone and unsupervised in charge of children; or,
- a volunteer is recruited by another organisation, for example sports coaches from a local club, although the school should obtain assurance from that organisation that the person has been properly recruited and vetted.

2. Define the vacancy

ALP schools' staffing structures are agreed by the Governing Body through the school staffing structure review process. The current ALP structure is included as an annex to the ALP's **Pay Policy** and includes the number, type and pay/grading of teaching and support staff posts. The number of hours and the duration of the contract is determined by the needs of the ALP.

The following details need to be clear before starting the recruitment process:

- the job role;
- whether teaching or support staff terms and conditions apply;
- the pay and grading of the post, which should be determined by job evaluation in the case of new or revised support staff posts;
- whether the post is full-time or part-time and, if part-time, the number/pattern of hours of work and whether a variable hours contract is appropriate;
- in the case of support staff posts whether the post is required full-year or part-year and, if part-year, the number/pattern of days to be worked; and
- the duration of the contract to be offered to the appointed applicant.
- whether the appointment is full-time or part-time and permanent or fixed-term.

3. Define the scope of the recruitment process

Vacancies will normally be advertised to external applicants as well as current employees of the ALP. This promotes open competition, avoids indirect discrimination and attracts a wider field of applicants to select from.

ALP schools **will** restrict the recruitment process for a vacancy in the following circumstances:

- where there is an existing employee in the ALP who must be considered for redeployment because s/he is under notice of dismissal or at risk of dismissal on grounds of redundancy, capability (from ill health, disability or poor performance), contravention of a statutory enactment or for some other substantial reason and the vacancy may be suitable alternative employment;
- where the school structure review process has determined that the appropriate method of appointment to the post is “ring-fencing” or “slotting in”.

The ALP **may** decide to restrict the recruitment process for a vacancy in the following circumstances:

- where the school agrees, on this occasion, to give priority consideration to employees from other schools or the local authority who are under notice of dismissal or at risk of dismissal on grounds of redundancy, capability (including ill health, disability or poor performance), conduct (except gross misconduct), contravention of a statutory enactment or for some other substantial reason if the vacancy may be suitable alternative employment.
- where the vacancy can be filled without advertising by converting an employee’s contract from fixed-term to permanent (subject to the postholder having been recruited through open competition in the first instance);
- where the vacancy can be filled without advertising by transferring an employee from another post within the ALP at the same pay scale (if more than one person is interested in transferring, a selection process should take place);
- where an employee asks to “step down” to a lower-paid job;
- where a post is already covered by job sharing and one of the sharers leaves as the remaining sharer should be offered the option of holding the post full-time; or
- where a vacancy arises within four months of the same or a similar one having been filled as the school may appoint one of the previously unsuccessful applicants without advertising the position, as long as the applicant meets all of the essential criteria in the person specification.

4. Define the job description

The job description is a statement of the purpose and responsibilities of the post. This must be up-to-date before the post is advertised. Consultation with existing staff may be needed if the proposed changes to the job description are significant.

The job description should include:

- the job title;
- the pay scale and any additional payments that apply;
- the post *to* which the holder is responsible;
- the posts *for* which the holder is responsible;
- the job purpose or main function;
- the main duties and responsibilities;
- a statement about the school’s commitment to safeguarding children: for example, “We are committed to safeguarding and promoting the welfare of children and expect all staff and volunteers to do the same”; and
- the date of the latest revision.

Whenever possible, the ALP uses the model job descriptions for teaching and support staff already in place. If it is considered that none of the current job descriptions for support staff posts apply, a school-specific job description will be prepared and, where appropriate, evaluated under a job evaluation process.

5. Decide if this vacancy has an “occupational requirement” (OR)

In very limited circumstances the law allows employers the defence of an “occupational requirement” (OR). In these cases the employer is able to specify that because of the intrinsic nature of a particular job, only people with a particular protected characteristic are eligible. The protected characteristics are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation.

Where it has been decided that an OR applies, a detailed written record must be made of the reasons for the decision.

6. Define the person specification

The person specification describes the skills and abilities the ALP feel are needed to carry out the post. This must be up-to-date before the post is advertised as it cannot be amended once the recruitment process has begun.

The person specification must only contain criteria that:

- are objective, fair, measurable and do not discriminate unlawfully; and
- genuinely affect job performance and can be justified.

The person specification must not include, unless there is objective justification to do so:

- general qualifications as an entry requirement (for example, five GCSEs);
- a specific number of years of experience (it should be defined in terms of type and level);
- age as a condition or as an indicator of experience or maturity; or
- physical requirements that could exclude people with disabilities.

The following requirements should be included in the person specification:

- ability to safeguard and promote the welfare of children including motivation to work with children, forming and maintaining appropriate relationships and personal boundaries with children;
- for teachers - emotional resilience in working with challenging behaviours and attitudes and the use of authority and maintaining discipline;
- no disclosure about criminal convictions or a safeguarding concern that makes applicant unsuitable for this post;
- any occupational requirement (OR) that applies.

7. Plan the recruitment exercise

The key timescales for the different stages of the recruitment process should be identified, allowing sufficient time at each stage so that safeguarding requirements are met: for example, the process must allow references for short-listed applicants to be obtained before interview.

Applicants should be given advance notice of the planned interview dates, wherever possible, in the advert or application pack.

In the case of a teaching appointment, the plan may need to consider resignation dates in case the selected applicant is already employed as a teacher. These are:

- Autumn Term: 31st October (30th September for EP/HOS);
- Spring Term: 28th February (31st January for EP/HOS);
- Summer Term: 31st May (30th April for EP/HOS).

8. Prepare the job advert

Except as detailed in the 'Define the vacancy' section above, all vacancies will be available to both external and internal applicants. The SBM will prepare an advert, decide the publications it is to be placed in and the closing date (ideally at least two weeks).

The advert and application pack will be sent to EducoHR for advertisement on North East Jobs.

Any other external adverts will be subject to the publication deadlines of the relevant publication. The ALP will deal directly with these publications and costs will need to be factored in.

9. Content of the application pack

People enquiring about a job should receive:

- the job advert;
- an application form (and guidance notes);
- the job description and person specification;
- the ALP's Safeguarding and Child Protection Policy;
- the ALP's Equality Policy (Staff);
- for teaching posts, information about the school's policy on pay ranges, starting salaries and pay progression; and
- welcome letter specific to the post, that contains information about the process and safeguarding checks that will be undertaken.

10. Set up the recruitment file

The recruitment administrator should begin completing a recruitment checklist and set up a recruitment file, updating it throughout the recruitment process. This information will be treated confidentially, stored securely and retained for at least four months following the appointment,. It will include copies of the following:

- recruitment checklist;
- job description, person specification and any additional information provided to applicants;
- a written record of the reasons for an "occupational requirement" (if this applies);
- job advert;
- all application forms;
- short-listing minutes, matrix and notes why applications were shortlisted/rejected;
- interview notes and a record of the decisions made and reasons why;
- lesson observations, test results and other forms of assessment (if this applies);
- reference request letters and references received;
- any correspondence with candidates (except correspondence with the appointed applicant which should be kept in their personal file).

11. Handling applications

11.1 Sending out applications

The recruitment administrator will send out the application pack to applicants on request. Packs will also be available online.

11.2 Receiving and acknowledging applications

The recruitment administrator should scrutinise the application form to ensure that it is fully completed. Incomplete applications should not be accepted and should be returned to the applicant for completion and return.

Completed forms should be returned by applicants by the closing date. The recruitment administrator will contact the SBM to ask if they will accept any applications received after the closing date, if specific circumstances apply. Late applications should not be accepted once the short-listing process has started.

The ALP will not acknowledge application forms or contact people who have not been short-listed due to the costs and time involved.

11.3 Alternative formats

Disabled people may choose to apply for jobs in large print (16 point), Braille, on audio tape or in Word or HTML formats.

CVs will never be accepted as an alternative to the application form as they will only contain the information the applicant wishes to present and may omit relevant details.

11.4 Applicant's relationship with a governor or senior staff

An applicant is required to tell the ALP about any relationship with a governor or staff member in the ALP when they are applying for a post.

Under the Code of Conduct staff must declare their relationship to an applicant for a job in the ALP to the SBM.

11.5 Canvassing

Any applicant who canvasses (tries to influence others to gain an advantage in the recruitment process) or allows someone to canvass on their behalf will be disqualified from further consideration.

12. Short-list applicants

12.1 Short-listing process

Applications should be short-listed by at least two people who will be involved in the appointing panel. Ideally one of these should be the successful candidate's future line manager.

All applications should be scrutinised to ensure that the information provided is consistent and does not contain any discrepancies. Any anomalies or gaps in employment should be identified and noted, by the recruitment administrator as these may influence whether the applicant is short-listed.

The short-listing panel will review each application form and assess that applicant against the person specification for the post. Any applicant who does not meet the minimum essential criteria should not be included on the short-list. It is the policy of the ALP to guarantee an interview to all disabled applicants who meet the essential criteria. The interview will be in competition with other applicants.

A record of each decision should be made on the short-listing form and kept.

The short-listing form and the application forms of the successful and unsuccessful applicants should be returned to the recruitment administrator for processing as appropriate.

12.2 Contacting short-listed applicants

The recruitment administrator will check if any of the short-listed applicants have asked for adjustments to the interview arrangements on the application form and make the necessary arrangements.

The SBM will send a letter to the short-listed applicants inviting them to an interview/ other assessment using the model letter at Appendix 7.

12.3 Take up references and verify facts

All short-listed applicants must provide two referees, one of which must be the current or most recent employer. References must be requested direct from the referee. References provided by the applicant or open references addressed “to whom it may concern” will not be considered.

Written references must be requested before the interview and made available to the appointing panel. The recruitment administrator will write to the referees, using model letter at Appendix 8, and enclose the reference request form, job description and person specification. The reference request form does not contain any questions about the applicant’s sickness absence record as this can only be asked at the end of the recruitment and selection process when a selected applicant has been conditionally offered the job. It also does not ask for information about any allegation of abuse that was proven to be false, unsubstantiated, unfounded or malicious nor about any history of repeated concerns or allegations which have all been found to be unsubstantiated, malicious etc.

In some circumstances, for example where there is only a short time between short-listing and interview, it may not be possible to obtain references prior.

If a short-listed applicant claims to have some specific qualification or previous experience that is particularly relevant to the post, that will not be verified by a reference, the appointing panel should arrange to contact the relevant previous employer by telephone and ask for the facts. If this applicant is then conditionally offered the post, written confirmation of the facts should be requested.

13. Assessment and making the selection decision

13.1 Interview panel

One-to-one interviews are not recognised as appropriate within the ALP and, as far as possible, the appointing panel should have an odd number of members i.e. three.

The appointing panel may include people external to the school, for example, where there are partnership arrangements in place, but their role should be viewed as advisory and only the appointing panel can make the final decision to appoint staff. At least one member of the appointing panel should be Safer Recruitment trained.

The appointing panel should meet before the interviews to:

- agree their interview questions to assess the relevant criteria on the person specification; and
- note the issues to be explored with each candidate based on the information provided in the application form, self-disclosure of criminal convictions form and references including any anomalies, gaps in employment, reasons for a history of repeated changes of employment without any clear career or salary progression or reasons for a mid-career move from a permanent to a supply post.

13.2 Conducting the interview

All applicants should be asked a series of common questions based on the requirements for the post set out in the person specification with individual supplementary questions to probe each applicant's response. Hypothetical questions should be avoided because they allow theoretical answers. It is recommended that competence based questions requiring an applicant to explain how they have dealt with an actual situation or questions that test an applicant's attitudes and understanding are asked. Responses should be probed sufficiently to make sure the appointing panel is satisfied it has enough information to judge whether the applicant meets the criteria in the person specification.

The appointing panel must always ask for information about previous employment and get satisfactory explanations for any gaps in employment, discrepancies in the information provided or repeated changes in employment.

The selection process for all posts in schools must include an assessment of each applicant's suitability to work with children. Appropriate questions must be asked at interview to assess this including the applicant's:

- attitude towards children and their motivation to work with them;
- ability to form and maintain appropriate relationships and personal boundaries with children;
- understanding of British Values, Equality and Diversity and Safeguarding;
- where appropriate, emotional resilience in working with challenging behaviours; and
- where appropriate, attitudes to use of authority and maintaining discipline.

Except in very restricted circumstances the appointing panel cannot ask any questions about an applicant's health, disability or sickness absence record until they have been conditionally offered the job. Instead, the appointing panel should ask questions about whether the applicant has the relevant skills, qualities and experience to do the job, not

about their health or about any disability they may have. An exception is where the question relates to a person's ability to carry out a task that is intrinsic to the job but even then the appointing panel must ask about a disabled person's ability to carry out the task with reasonable adjustments in place. The appointing panel should seek HR advice from the SBM before doing so.

The appointing panel must discuss any discrepancy or concern about the information provided by a referee with the applicant. If references have not been received before the interview, the applicant must be asked at interview if there is anything s/he wishes to declare or discuss in light of the questions that have been put to the referee.

The appointing panel must keep a written record of the interview to summarise each applicant's answers.

13.3 Other forms of assessment

The appointing panel may choose to use one or more other methods of assessment in addition to the interview. Examples include:

- Lesson observation or other interaction with children: Observing applicants as part of the formal assessment process is an ideal opportunity to assess how they deal with children. This may be by observing a lesson or through a structured task that directly involves children, parents/carers or other stakeholders in the recruitment process. The appointing panel must make sure that participants are effectively briefed on their role within the process and that it is the professional judgement of assessors about the interaction of the candidate with pupils that is taken into account;
- Presentations can demonstrate an applicant's knowledge as well as verbal communication and presentation skills;
- Psychometric tests refers to a collection of ability tests and personality questionnaires which when interpreted compare the applicant against the results of a standardised reference group. Testing should only be conducted by qualified and appropriately licensed staff, and only validated tests and questionnaires obtained from reputable agencies should be used;
- Visits should be offered to all short-listed applicants, if used. It should be made clear to applicants in advance whether the visit is formally part of the assessment process.

In all cases the appointing panel must identify which criteria in the person specification are being assessed by each method used.

Reasonable adjustments must be made for disabled persons where the assessment method would put them at a disadvantage. The applicant may need to complete tests or presentations in alternative formats, be allowed more time or have a support worker.

13.4 Making the selection decision

At the end of the interviews and any other assessments the appointing panel should discuss the evidence presented by each applicant and agree who best meets the person specification and the reason why. A summary of the decision must be recorded with

enough detail to ensure that the reasons are clear in case of any future complaint about the recruitment process. Minutes should be passed to the recruitment administrator.

13.5 Contacting interviewed applicants

The appointing panel will tell short-listed applicants the outcome of their application as soon as possible. Applicants with a sight or hearing difficulty must be contacted in the appropriate way, for example, a phone call or in Braille for people with a sight difficulty or by letter or minicom for people with a hearing difficulty.

Both internal and external applicants may ask for feedback on how they performed during the selection process and the appointing panel should make appropriate arrangements for this.

14. Offer of employment and pre-appointment checks

14.1 Conditional offer of employment

Any offer of appointment must be made on the condition that the applicant satisfactorily meets the required pre-appointment checks required. It is the responsibility of the SBM to ensure that the checks have been carried out, decide whether the outcome is satisfactory and ensure that the ALP's single central record is updated accordingly.

The SBM will confirm the conditional offer of employment in writing using model at Appendix 15.

Where a reference was not obtained for the appointed applicant before interview, the recruitment administrator should ensure that it is received and scrutinised with any concerns resolved satisfactorily before the person's appointment is confirmed.

In all but very restricted circumstances applicants can only be asked about their health, disability and sickness absence history when they are conditionally offered the job. The recruitment administrator should request information about the selected applicant's sickness absence history from their referees at this point in the process using the model letter at Appendix 14.

There is a duty to make reasonable adjustments for disabled people. When deciding whether an adjustment is reasonable the EP/HOS/SBM will need to consider:

- how effective the change will be in avoiding the disadvantage the disabled person would otherwise experience;
- its practicality;
- the cost;
- the organisation's resources and size; and
- the availability of financial support.

14.2 Documentation requirements

The recruitment administrator will arrange to inspect and copy for the selected applicant:

- identity documents including photographic evidence;
- the specific proof of identity documents required for an application for an enhanced certificate of criminal records from the Disclosure and Barring Service;

- certificates, diplomas or letters of confirmation for the academic qualifications that the applicant has stated on their application form, that have not already been scrutinized prior to interview;
- pre-employment health declaration form.

The recruitment administrator will complete the Appointment Statement for Teachers or Support Staff for SBM's signature.

These forms must be sent to Employee Services with:

- copy of the appointed applicant's application form;
- the criminal records declaration form;
- two references received and verified;
- pre-employment health declaration clearance;
- DBS confirmation form;
- copies of the proof of identity documents obtained;
- copy of conditional offer of employment letter; and
- job description for the post.

Specific arrangements:

A Children's Barred List check can only be requested if the person is undertaking "regulated activity". An enhanced criminal records check is also required.

The decision regarding whether the individual is undertaking regulated activity should be kept under review.

14.3 **Identifying a start date**

The selected candidate must not be confirmed in post or start work until all pre-appointment checks are satisfactorily completed.

The only exception to the above is that the EP does have discretion for an individual to start work before the enhanced certificate of disclosure is received from the Disclosure and Barring Service, subject to certain conditions. If this discretion is used, the EP must sign a declaration form confirming that these respite measures are to be used.

14.4 **Confirming the appointment**

ALP schools will write to the selected applicant to confirm their appointment once all pre-appointment checks are satisfactorily completed and the start date and starting salary are agreed. A written statement of terms and conditions will be issued by NCC employee services on our behalf within eight weeks of the start of employment.

A record of pre-appointment checks undertaken will be retained on the employee's personal file.

14.5 **Relocation expenses**

The Governing Body has discretion to pay the appointed candidate appropriate expenses if they need to relocate. This would only occur in exceptional circumstances.

15. Equalities monitoring

The ALP will provide the successful applicant with an equal opportunities data form to complete. This data will be processed in accordance with the Data Protection Act and is used on a confidential basis solely for the purpose of equalities monitoring.

16. Complaints

An unsuccessful applicant will naturally be disappointed at their lack of success and may question the outcome. The appointing panel will provide unsuccessful applicants with feedback on their applications, where requested, and wherever possible will try to resolve a complaint informally.

Applicants may still wish to pursue their complaint formally. Internal applicants should submit their complaint under the school's Grievance Procedure, which will be investigated within the timescales set out in that procedure. External applicants should submit their complaint in writing to the Chair of Governors, which will be investigated under the school's Complaints Procedure. Neither course of action prevents an applicant from making a complaint of unlawful discrimination to an Employment Tribunal within three months of the action they are complaining about taking place.

Individuals who make complaints about unlawful discrimination must not be victimised as a result of having done so.

17. Legal Considerations

Equalities legislation: Employers must not discriminate, either directly or indirectly, against people on the basis of any of the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation, unless this can be objectively justified. This applies to all aspects of the recruitment process from advertising jobs through to appointing staff.

In very limited circumstances the law allows employers the defence of an "occupational requirement" (OR) to specify that because of the intrinsic nature of a particular job only people with a particular protected characteristic are eligible.

An employer must make reasonable adjustments in the recruitment and employment of disabled people. This can include adjustments to recruitment and selection procedures; adjustments to working arrangements and physical changes to premises or equipment.

Safeguarding children: It is a legal requirement that schools check all appointed applicants against the Disclosure and Barring Service's Children's Barred List and it is a criminal offence for the school as the regulated activity provider to knowingly appoint someone who is barred from regulated activity with children. It is also a legal requirement that the appointed applicant obtains an enhanced certificate of criminal records from the Disclosure and Barring Service. An enhanced criminal records check and a check against the Children's Barred List are also required for volunteers undertaking "regulated activity".

A school is only entitled to request a check of the Children's Barred List if an individual will be carrying out "regulated activity". This includes:

- unsupervised activities involving teaching, training, instructing, caring for or supervising children, or providing advice/guidance on well-being, or driving a vehicle only for children on a regular basis, whether paid or voluntary; or

- work for specified places, including schools, on a regular basis with opportunity for contact with children, excluding supervised volunteers.

“Regular” is defined as once a week or more, four or more days in a 30-day period or overnight (between 2am and 6am, even if only once). The DfE has produced statutory guidance on whether a volunteer should be classed as “supervised”. There is no right to check the Children’s Barred List for supervised volunteers, however schools have discretion to request an enhanced criminal records certificate. This is explained in more detail in the **Criminal Records Code of Practice** at Appendix 18.

Preventing illegal working: Only applicants allowed to work in the UK under the Immigration, Asylum and Nationality Act 2006 can be appointed. Employing illegal workers can be both a civil and a criminal offence.

Application Form – Teaching



APPLICATION FORM – TEACHING STAFF

School applied for: Bothal Primary School ☐ Central Primary School ☐ Ashington Learning Partnership ☐

Post applied for:

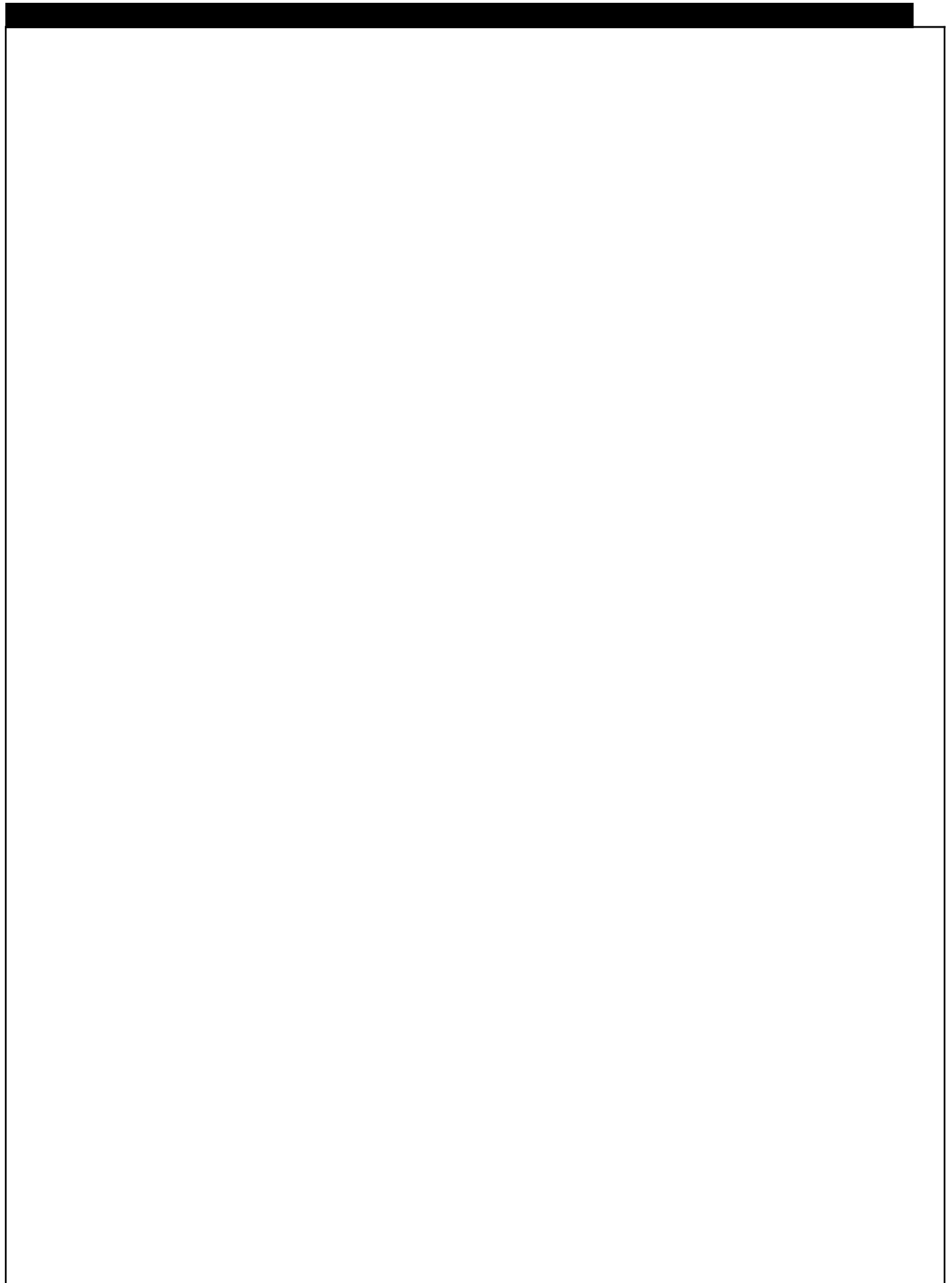
Surname:	First name(s):
Date of Birth:	Address:
Home/Mobile Tel:	
Email:	Post Code:
Do you consider yourself to have a disability?	Yes / No
Please tell us about any reasonable adjustment you need to help you with the application process.	
Please tell us about any reasonable adjustment you need to help you do the job for which you are applying.	

Employer's name:	Position held:
Employer's address:	Date started:
	Date finished:
	Reason for leaving:
Salary / Other Benefits:	
Brief description of duties, responsibilities etc.	

From	To	School Name	School Type	Position held	Reason left

From	To	Name and address of employer	Position held	Reason left

From	To	Establishment	Examinations, qualifications, grades and achievements



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Give the name, address, telephone number and email address of two referees. One must be your **current employer** or, if you are currently out of work, your **last employer**. If you are not currently working with children, you must include a **referee from the last employment you had working with children (if any)**. References from friends or purely social acquaintances are unacceptable:

Name:	Name:
Position:	Position:
Address:	Address:
Tel:	Tel:
Email:	Email:
Current/last employer ☐ working with children ☐	Current/last employer ☐ working with children ☐

If you are related to any member of the governing body of any of the schools in the Trust please declare this. **CANVASSING OR NON DECLARATION WILL DISQUALIFY APPLICANTS.**

If you are applying for a post open to job share please indicate how you wish to work by ringing one of the following.

FULL TIME ONLY	JOB SHARE ONLY	EITHER
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CRIMINAL RECORDS

Having a criminal conviction will not necessarily bar you from employment. This will depend upon the circumstances and background to your offence(s). Criminal records will only be taken into account when the conviction is relevant. The successful candidate will be required to produce a Disclosure and Barring Service (DBS) criminal records certificate and any offer of appointment will be conditional upon this being judged satisfactory by the Appointing Panel.

Please check and sign the statement below (noting that it is a criminal offence for anyone on the Children's Barred List to apply for a job that involves "regulated activity").

I confirm that I am not on the Children's Barred List as being barred from working with children. I am not subject to sanctions imposed by a regulatory body.

SIGNED..... DATE.....

DECLARATION

I declare that the information given is correct to the best of my knowledge. I understand that deliberately giving false or incomplete answers will disqualify me from consideration, or, in the event of my appointment, make me liable to dismissal. I authorise the ALP to retain and use the personal information I have provided in connection with legislative requirements and the ALP's employment policies, procedures and practices.

GUIDANCE NOTES FOR APPLICATION FORMS – TEACHING STAFF

Please read the following guidance notes to help you complete the application form.

PLEASE NOTE: sending a CV is not an acceptable substitute for completing the application form. Large print and audio formats can be made available upon request. Please contact the ALP for more information.

1. EXAMINE THE INFORMATION PACK

It should contain a job description, a person specification, an application form, Equality Policy and these guidance notes. Hopefully, this pack will help you decide whether or not to apply, and how to make your application as effective as possible.

2. LOOK AT THE PERSON SPECIFICATION

This states the skills, qualifications, knowledge and experience that the ALP feel are required to do the job. When short-listing takes place, your application form will be compared against the person specification.

3. ANALYSE YOUR EXPERIENCE

What evidence can you offer to demonstrate that you possess the skills, qualifications, knowledge and experience necessary to do the job for which you are applying? Describe this experience on the application form and covering letter. It may be appropriate to include relevant skills and experience outside of work e.g. domestic responsibilities, trade union, or social activities.

4. FILL IN YOUR APPLICATION FORM

If you are applying on line, you may save your application at any stage and come back to it later. If you are downloading an application form, you may first wish to do a rough draft then check for mistakes. If you have insufficient space, continue on a separate sheet. Ensure that you have provided sufficient evidence that you can do the job for which you are applying. Remember to sign and date your application form before returning it by the specified closing date.

5. COMPLETE A LETTER OF APPLICATION

Space is available within the form to allow you to complete a letter of application. This should be no more than two sides of A4 in which you should demonstrate your skills, experience and personal characteristics. You should explain how you fulfil the essential and desirable criteria shown on the person specification. You should include any additional skills or experiences you may have had, and any preferences or strengths in terms of a key stage or subject. Finally, we would like to know about your teaching profile and how you currently meet Teacher Standard 8.

6. REFERENCES

Give the names and addresses of two people who are prepared to give a reference on your behalf. One of these **MUST** be your current or, if you are out of work, your last employer. If you are not currently working with children, you must include a referee from the last employment you had working with children (if any). References from friends or purely social acquaintances are unacceptable. You must ensure that referees are available to give references, so bear in mind school, college, bank or annual holidays. Please note that requests to not contact a referee prior to interview will not generally be agreed to and will affect whether you will be short-listed for the vacancy as statutory guidance states that references should be taken up before interview.

7. CRIMINAL RECORDS

The successful candidate will be required to produce an enhanced criminal records certificate from the Disclosure and Barring Service (DBS) which the SBM considers to be satisfactory.

8. RESPONSE TO YOUR APPLICATION

If you are not contacted within four weeks of the closing date for applications, you may assume that you have not been selected for interview on this occasion. If however, you wish to have formal acknowledgement that your application form has been received would you please enclose a stamped addressed envelope when returning your application form.

If you have any queries about this guidance, please contact the ALP for more information.

Application Form – Support



APPLICATION FORM – SUPPORT STAFF		
School applied for: Bothal Primary School ☐ Central Primary School ☐ Ashington Learning Partnership ☐		
Post applied for:		
Surname:	First name(s):	
Date of Birth:	Address:	
Home/Mobile Tel:		
Email:	Post Code:	
Do you consider yourself to have a disability?	Yes / No	
Please tell us about any reasonable adjustment you need to help you with the application process.		
Please tell us about any reasonable adjustment you need to help you do the job for which you are applying.		
Employer's name:	Position held:	
Type of business:	Date started:	
Employer's address:	Date finished:	
Postcode:	Reason for leaving:	
Salary / Other Benefits:		
Brief description of duties, responsibilities etc.		

From	To	Name and address of employer	Position held	Reason left

From	To	Establishment	Examinations, qualifications, grades and achievements

[Redacted]

[Redacted]

[Redacted]

[Redacted]

Give the name, address, telephone number and email address of two referees. One must be your current employer or, if you are currently out of work, your last employer . If you are not currently working with children, you must include a referee from the last employment you had working with children (if any) . References from friends or purely social acquaintances are unacceptable:	
Name:	Name:
Position:	Position:
Address:	Address:
Tel:	Tel:
Email:	Email:
Current/last employer ☐ working with children ☐	Current/last employer ☐ working with children ☐
If you are related to any member of the governing body of any of the schools in the Trust please declare this. CANVASSING OR NON DECLARATION WILL DISQUALIFY APPLICANTS.	

If you are applying for a post open to job share please indicate how you wish to work by ringing one of the following.		
FULL TIME ONLY	JOB SHARE ONLY	EITHER

CRIMINAL RECORDS Having a criminal conviction will not necessarily bar you from employment. This will depend upon the circumstances and background to your offence(s). Criminal records will only be taken into account when the conviction is relevant. The successful candidate will be required to produce a Disclosure and Barring Service (DBS) criminal records certificate and any offer of appointment will be conditional upon this being judged satisfactory by the Appointing Panel. Please check and sign the statement below (noting that it is a criminal offence for anyone on the Children's Barred List to apply for a job that involves "regulated activity"). I confirm that I am not on the Children's Barred List as being barred from working with children. I am not subject to sanctions imposed by a regulatory body. SIGNED..... DATE.....

DECLARATION I declare that the information given is correct to the best of my knowledge. I understand that deliberately giving false or incomplete answers will disqualify me from consideration, or, in the event of my appointment, make me liable to dismissal. I authorise the ALP to retain and use the personal information I have provided in connection with legislative requirements and the ALP's employment policies, procedures and practices. SIGNED: DATE:
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GUIDANCE NOTES FOR APPLICATION FORMS – SUPPORT STAFF

Please read the following guidance notes to help you complete the application form.

PLEASE NOTE: sending a CV is not an acceptable substitute for completing the application form. Large print and audio formats are available upon request. Please contact the ALP for more information.

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It should contain a job description, a person specification, an application form, Equality Policy and these guidance notes. Hopefully, this pack will help you decide whether or not to apply, and how to make your application as effective as possible.

2. LOOK AT THE PERSON SPECIFICATION

This states the skills, qualifications, knowledge and experience that are required to do the job. When short-listing takes place, your application form will be compared against the person specification.

3. ANALYSE YOUR EXPERIENCE

What evidence can you offer to demonstrate that you possess the skills, qualifications, knowledge and experience necessary to do the job for which you are applying? Describe this experience on the application form. It may be appropriate to include relevant skills and experience outside of work e.g. domestic responsibilities, trade union, or social activities.

4. FILL IN YOUR APPLICATION FORM

If you are applying on line, you may save your application at any stage and come back to it later. If you are downloading an application form, you may first wish to do a rough draft then check for mistakes. If you have insufficient space in any section, continue on a separate sheet. Ensure that you have provided sufficient evidence that you can do the job for which you are applying. Remember to sign and date your application form before returning it by the specified closing date.

5. REFERENCES

Give the names and addresses of two people who are prepared to give a reference on your behalf. One of these **MUST** be your current or, if you are out of work, your last employer. If you are not currently working with children, you must include a referee from the last employment you had working with children (if any). References from friends or purely social acquaintances are unacceptable. You must ensure that referees are available to give references, so bear in mind school, college, bank or annual holidays. Please note that requests not to contact a referee prior to interview will not normally be agreed and it will affect whether you will be short-listed for the vacancy as statutory guidance states that references should be taken up before interview.

7. CRIMINAL RECORDS

The successful candidate will be required to produce an enhanced criminal records certificate from the Disclosure and Barring Service (DBS) which the Appointing Officer considers to be satisfactory.

8. RESPONSE TO YOUR APPLICATION

If you are not contacted within four weeks of the closing date for applications, you may assume that you have not been selected for interview on this occasion. If however, you wish to have formal acknowledgement that your application form has been received would you please enclose a stamped addressed envelope when returning your application form.

If you have any queries about this guidance, please contact the ALP for more information.

Privacy Notice for Job Applicants



Under data protection law, individuals have a right to be informed about how the Ashington Learning Partnership (ALP) uses any personal data that we hold about them. We comply with this right by providing 'privacy notices' (sometimes called 'fair processing notices') to individuals where we are processing their personal data.

This privacy notice explains how we collect, store and use personal data about **individuals applying for jobs in our schools**.

The ALP are the 'data controller' for the purposes of data protection law.

Our Data Protection Officer is Linda Papaioannou, School Support Officer, NCC (see 'Contact us' below).

Successful candidates should refer to our privacy notice for the school workforce for information about how their personal data is collected, stored and used.

The personal data we hold

We process data relating to those applying to work at our school. Personal data that we may collect, use, store and share (when appropriate) about you includes, but is not restricted to:

- Contact details;
- Copies of right to work documentation;
- References;
- Evidence of qualifications;
- Employment records, including work history, job titles, training records and professional memberships;
- Criminal records.

We may also collect, store and use information about you that falls into "special categories" of more sensitive personal data. This includes information about (where applicable):

- Race, ethnicity, religious beliefs, sexual orientation and political opinions.
- Disability and access requirements.

Why we use this data

The purpose of processing this data is to aid the recruitment process by:

- Enabling us to establish relevant experience and qualifications;
- Facilitating safer recruitment, as part of our safeguarding obligations towards pupils;
- Enabling equalities monitoring;
- Ensuring that appropriate access arrangements can be provided for candidates that require them.

Our lawful basis for using this data

We only collect and use personal information about you when the law allows us to. Most commonly, we use it where we need to:

- Comply with a legal obligation.

- Carry out a task in the public interest.

Less commonly, we may also use personal information about you where:

- You have given us consent to use it in a certain way.
- We need to protect your vital interests (or someone else's interests).

Where you have provided us with consent to use your data, you may withdraw this consent at any time. We will make this clear when requesting your consent, and explain how you go about withdrawing consent if you wish to do so.

Some of the reasons listed above for collecting and using personal information about you overlap, and there may be several grounds which justify the school's use of your data.

Collecting this information

While the majority of the information we collect from you is mandatory, there is some information that you can choose whether or not to provide to us.

Whenever we seek to collect information from you, we make it clear whether you must provide this information (and if so, what the possible consequences are of not complying), or whether you have a choice.

How we store this data

Personal data we collect as part of the job application process is stored in line with our Data Protection Policy and Records Retention and Management Procedures.

When it is no longer required, we will delete your information in accordance with our Records Management Policy.

Data sharing

We do not share information about you with any third party without your consent unless the law and our policies allow us to do so.

Where it is legally required, or necessary (and it complies with data protection law), we may share personal information about you with:

- Our local authority – to meet our legal obligations to share certain information with it. If you require more information go to <http://intranet/default.aspx?page=6892>
- Suppliers and service providers – to enable them to provide the service we have contracted them for, such as HR and recruitment support.
- Professional advisers and consultants.
- Employment and recruitment agencies.

Transferring data internationally

Where we transfer personal data to a country or territory outside the European Economic Area, we will do so in accordance with data protection law.

Your rights

How to access the personal information we hold about you

Individuals have a right to make a 'subject access request' to gain access to personal information that the school holds about them.

If you make a subject access request, and if we do hold information about you, we will:

- Give you a description of it;
- Tell you why we are holding and processing it, and how long we will keep it for;
- Explain where we got it from, if not from you;
- Tell you who it has been, or will be, shared with;
- Let you know whether any automated decision-making is being applied to the data, and any consequences of this;
- Give you a copy of the information in an intelligible form.

You may also have a right for your personal information to be transmitted electronically to another organisation in certain circumstances.

If you would like to make a request, please contact our Data Protection Officer.

Your other rights regarding your data

Under data protection law, individuals have certain rights regarding how their personal data is used and kept safe. You have the right to:

- Object to the use of your personal data if it would cause, or is causing, damage or distress
- Prevent your data being used to send direct marketing.
- Object to the use of your personal data for decisions being taken by automated means (by a computer or machine, rather than a person).
- In certain circumstances, have inaccurate personal data corrected, deleted or destroyed, or restrict processing.
- Claim compensation for damages caused by a breach of the data protection regulations.

To exercise any of these rights, please contact our Data Protection Officer.

Complaints

We take any complaints about our collection and use of personal information very seriously.

If you think that our collection or use of personal information is unfair, misleading or inappropriate, or have any other concern about our data processing, please raise this with us in the first instance.

To make a complaint, please contact our Data Protection Officer. Alternatively, you can make a complaint to the Information Commissioner's Office:

- Report a concern online at <https://ico.org.uk/concerns/>
- Call 0303 123 1113.
- Or write to: Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF.

Contact us

If you have any questions, concerns or would like more information about anything mentioned in this privacy notice, please contact our Data Protection Officer:

- Linda Papaioannou c/o Northumberland County Council, Tel: 01670 623600.
- Nikki Lumley, School Business Manager, Tel: 01670 812360 / 01670 810570

Privacy Notice for Governors and other volunteers



Under data protection law, individuals have a right to be informed about how the Ashington Learning Partnership (ALP) uses any personal data that we hold about them. We comply with this right by providing 'privacy notices' (sometimes called 'fair processing notices') to individuals where we are processing their personal data.

This privacy notice explains how we collect, store and use personal data about **individuals working with the ALP in a voluntary capacity, including governors**.

The Ashington Learning Partnership are the 'data controller' for the purposes of data protection law.

Our Data Protection Officer is Linda Papaioannou, School Support Officer, NCC (see 'Contact us' below).

The personal data we hold

We process data relating to those volunteering at the ALP. Personal data that we may collect, use, store and share (when appropriate) about you includes, but is not restricted to:

- Contact details;
- References;
- Evidence of qualifications;
- Employment details;
- Information about business and pecuniary interests.

We may also collect, store and use information about you that falls into "special categories" of more sensitive personal data. This may include information about (where applicable):

- Race, ethnicity, religious beliefs, sexual orientation and political opinions.
- Disability and access requirements.
- Criminal records.

Why we use this data

The purpose of processing this data is to support the ALP to:

- Establish and maintain effective governance;
- Meet statutory obligations for publishing and sharing governors' details;
- Facilitate safe recruitment, as part of our safeguarding obligations towards pupils;
- Undertake equalities monitoring;
- Ensure that appropriate access arrangements can be provided for volunteers who require them.

Our lawful basis for using this data

We only collect and use personal information about you when the law allows us to. Most commonly, we use it where we need to:

- Comply with a legal obligation.
- Carry out a task in the public interest.

Less commonly, we may also use personal information about you where:

- You have given us consent to use it in a certain way.
- We need to protect your vital interests (or someone else's interests).

-
- We have legitimate interests in processing the data – for example, where appropriate checks are made with the disclosure barring service.

Where you have provided us with consent to use your data, you may withdraw this consent at any time. We will make this clear when requesting your consent, and explain how you go about withdrawing consent if you wish to do so.

Some of the reasons listed above for collecting and using personal information about you overlap, and there may be several grounds which justify our use of your data.

Collecting this information

While the majority of the information we collect from you is mandatory, there is some information that you can choose whether or not to provide to us.

Whenever we seek to collect information from you, we make it clear whether you must provide this information (and if so, what the possible consequences are of not complying), or whether you have a choice.

How we store this data

Personal data is stored in accordance with our Data Protection Policy and Records Management Policy.

We maintain a file to store personal information about all volunteers. The information contained in this file is kept secure and is only used for purposes directly relevant to your work with the ALP. When your relationship with the ALP has ended, we will retain and dispose of your personal information in accordance with our Records Management Policy.

Data sharing

We do not share information about you with any third party without your consent unless the law and our policies allow us to do so.

Where it is legally required, or necessary (and it complies with data protection law) we may share personal information about you with:

- Government departments or agencies – to meet our legal obligations to share information about governors/trustees. For further information go to <http://www.education.gov.uk/schools/adminandfinance/schooladmin/a0077963/what-the-department-does-with-school-workforce-data> or by contacting: Public Communications Unit, Department for Education, Sanctuary Buildings, Great Smith Street, London SW1P 3BT. Email: info@education.gsi.gov.uk
- Our local authority – to meet our legal obligations to share certain information with it, such as details of governors. If you require more information go to <http://intranet/default.aspx?page=6892>.
- Suppliers and service providers – to enable them to provide the service we have contracted them for, such as governor/trustee support.
- Professional advisers and consultants.
- Police forces, courts.

Transferring data internationally

Where we transfer personal data to a country or territory outside the European Economic Area, we will

do so in accordance with data protection law.

Your rights

How to access the personal information we hold about you

Individuals have a right to make a 'subject access request' to gain access to personal information that the ALP holds about them.

If you make a subject access request, and if we do hold information about you, we will:

- Give you a description of it;
- Tell you why we are holding and processing it, and how long we will keep it for;
- Explain where we got it from, if not from you;
- Tell you who it has been, or will be, shared with;
- Let you know whether any automated decision-making is being applied to the data, and any consequences of this;
- Give you a copy of the information in an intelligible form.

You may also have a right for your personal information to be transmitted electronically to another organisation in certain circumstances.

If you would like to make a request, please contact our Data Protection Officer.

Your other rights regarding your data

Under data protection law, individuals have certain rights regarding how their personal data is used and kept safe. You have the right to:

- Object to the use of your personal data if it would cause, or is causing, damage or distress
- Prevent your data being used to send direct marketing.
- Object to the use of your personal data for decisions being taken by automated means (by a computer or machine, rather than a person).
- In certain circumstances, have inaccurate personal data corrected, deleted or destroyed, or restrict processing.
- Claim compensation for damages caused by a breach of the data protection regulations.

To exercise any of these rights, please contact our Data Protection Officer.

Complaints

We take any complaints about our collection and use of personal information very seriously.

If you think that our collection or use of personal information is unfair, misleading or inappropriate, or have any other concern about our data processing, please raise this with us in the first instance.

To make a complaint, please contact our Data Protection Officer. Alternatively, you can make a complaint to the Information Commissioner's Office:

- Report a concern online at <https://ico.org.uk/concerns/>
- Call 0303 123 1113.
- Or write to: Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF.

Contact us

If you have any questions, concerns or would like more information about anything mentioned in this privacy notice, please contact our Data Protection Officer:

- Linda Papaioannou c/o Northumberland County Council, Tel: 01670 623600

- Nikki Lumley, School Business Manager, Tel: 01670 812360 / 01670 810570

Short-listing Matrix

Short-listing Process – Guidance Notes

Applications should be short-listed by at least two people who will be involved in the appointing panel. Where possible, the short-listing panel should have a reasonable balance of men and women.

All applications should be scrutinised to ensure that the information provided is consistent and does not contain any discrepancies. Any gaps in employment should also be identified. Any anomalies or discrepancies or gaps in employment should be noted and consideration of the totality of these may influence whether the applicant is short-listed.

- The attached short-listing matrix form can help members of the short-listing panel to record their assessment of an applicant's suitability for the job in a structured way.
- The Chair should complete this form to record the decisions of the short-listing panel. Each member of the appointing panel involved in the short-listing process may complete their own copy of the short-listing form as part of their preparations, however a final version should be agreed and record the appointing panel's final decision. All written records including informal notes must be retained.
- Each applicant's name should be entered in the first column. This should be done for all applicants for the post. It is however, acceptable to complete an initial sift to remove applications that are clearly not suitable such as poor spelling/grammar, CV's, etc.
- Each applicant should be assessed to confirm whether they meet each of the criteria for the job that can be assessed from the application stage, as listed in the person specification.
- The short-list form should be completed as follows:
 - o a **tick** should be placed in the column if there is evidence that the applicant meets the criterion;
 - o a **cross** should be placed in the column if there is evidence that the applicant does not meet the criterion; or
 - o a **question mark** should be placed in the column if there is insufficient evidence as to whether the applicant meets the criterion or not. If the applicant is included in the short-list, this should be followed up at interview.
- Any applicant who does not meet the minimum essential criteria should not be included on the short-list.
- The short-list column is used to record the short-listing decision: **Yes** if the applicant is to be short-listed and **No** if the applicant is not to be short-listed.
- The appointing panel should check whether any of the candidates qualify for the guaranteed interview scheme for disabled applicants. There is also a guaranteed interview scheme for former employees of the NCC and its maintained schools whose employment has been compulsorily terminated on grounds of redundancy or ill-health and who meet the essential criteria for a vacancy, for a period of six months after the termination of their employment. In both cases the interview is in competition with other applicants. If an applicant does qualify for the guaranteed interview scheme, this should be recorded in the 'Guaranteed Interview' column.
- All members of the appointing panel should sign the agreed form.
- Once completed the short-list form should be passed to the School Business Manager to be retained, along with all the application forms (both successful and unsuccessful applicants).

Short-listing Matrix

Post Title													
Bothal ☐				Central ☐						ALP ☐			
Short-listing Panel Members													
Date													
Applicant's Name	Selection Criteria from attached Person Specification										Short-list (Y/N)	Guaranteed Interview (Y/N)	
	1	2	3	4	5	6	7	8	9	10			

(Continue on continuation sheet if necessary)

Signatures of the Short-listing Panel:

Return this form to the Recruitment Administrator

Short-listing Meeting - Minutes

Post:

Site:

 Bothal Upper ☐ Bothal Lower ☐ Central Upper ☐ Central Lower ☐

Date of meeting:

Time of meeting:

Present:1. (Chair)2. 3. 4. 5. **Safer Recruitment Trained**
☐

Date

☐

Date

☐

Date

☐

Date

☐

Date

The certificate is available to view
in the Single Central Record.

Consideration of applications:

There were

applications for the post.

The merits of each application were considered and discussed (please see short-listing matrix attached). Each application form was scrutinised and any issues arising from these were noted and will be raised with candidates at interview. Any gaps in employment history were noted and will be discussed at interview. No candidates applying via a CV were invited to interview. No candidates with incomplete application forms were invited for interview.

Short-listing:

It was agreed to invite

candidates to interview as follows:

Interviews/assessment planning:

The timetable and process for interviews/assessment
were agreed and will be held on:

Signed:

Name:

(Chair)

Appendix 7

Invite to Interview Letter

Date

Name

Address

Postcode



Dear name

Application for the post of post at Site

Thank you for your application for the above post and your interest in the Ashington Learning Partnership. I am pleased to inform you that you have been included in the shortlist of candidates to be given further consideration and I am writing to outline the arrangements for the next stage of the process.

You are asked to attend an interview on (day month year) at (time) in (venue). The interview is expected to last approximately (length of interview) and you will be free to leave after this. The panel will consist of (name, job title) and (name, job title).

The interview will cover your ability to safeguard and promote the welfare of children and young people as well as exploring the skills and experience you have relevant to the post you have applied for.

Please report to the office on arrival at school and attend 15 minutes before the interview time so that your right to work in the UK (under the provisions of the Immigration Asylum and Nationality Act 2006) and certificates of qualifications required for the post can be verified and the evidence copied for our records. Please ensure you bring original documents with you.

As part of the selection process you are also required to (if relevant, insert details of other aspects of the selection process e.g. lesson observation, written or oral presentation etc).

The successful candidates will be asked to return at a later date for verification of identity, health check and criminal records check. We have requested information from the referees you provided. Please see attached for further information.

Please contact name & number to confirm that you can attend the interview. You should also inform us if you have any particular requirements for the interview arrangements, such as visual or hearing difficulties, wheelchair access.

Yours sincerely

Candidate List if wished

Timetable if wished

Identity documents to show that you are entitled to work in the UK

You should bring the relevant document(s) from:

- List A if you have an ongoing right to work in the UK; or
- List B if you have a right to work for up to 12 months.

List A - Documents which show an ongoing right to work in the UK

1. A passport showing that the holder, or a person named in the passport as the child of the holder, is a British citizen or a citizen of the United Kingdom and Colonies having the right of abode in the UK.
2. A passport or national identity card showing that the holder, or a person named in the passport as the child of the holder, is a national of the European Economic Area (EEA) or Switzerland.
3. A residence permit, registration certificate or document certifying or indicating permanent residence issued by the Home Office or the UK Border Agency, to a national of an EEA country or Switzerland.
4. A permanent residence card issued by the Home Office or the Border and Immigration Agency to the family member of a national of an EEA country or Switzerland.
5. A Biometric Immigration Document issued by the Border and Immigration Agency to the holder which indicates that the person named in it is allowed to stay indefinitely in the UK, or has no time limit on their stay in the UK.
6. A passport or other travel document endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has the right of abode in the UK, or has no time limit on their stay in the UK.
7. An Immigration Status Document issued by the Home Office or the Border and Immigration Agency to the holder with an endorsement indicating that the person named in it is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government Agency or previous employer.
8. A full birth certificate issued in the UK, which includes the name(s) of at least one of the holder's parents when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government Agency or previous employer.
9. A full adoption certificate issued in the UK which includes the names of at least one of the holder's adoptive parents when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government Agency or previous employer.
10. A birth certificate issued in the Channel Islands, the Isle of Man or Ireland when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government Agency or previous employer.
11. An adoption certificate issued in the Channel Islands, the Isle of Man or Ireland when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government Agency or previous employer.
12. A certificate of registration or naturalisation as a British citizen when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government Agency or previous employer.

13. A letter issued by the Home Office or Border and Immigration Agency to the holder which indicates that the person named in it can stay indefinitely in the UK when produced in combination with an official document giving the person's permanent National Insurance Number and their name issued by a Government Agency or previous employer.

List B - documents which show a right to work for up to 12 months

1. A passport or travel document endorsed to show that the holder is allowed to stay in the UK and is allowed to do the type of work in question, provided that it does not require the issue of a work permit.
2. A Biometric Immigration Document issued by the Border and Immigration Agency to the holder which indicates that the person named in it can stay in the UK and is allowed to do the work in question.
3. A work permit or other approval to take employment issued by the Home Office or the Border and Immigration Agency when produced in combination with a passport or another travel document endorsed to show the holder is allowed to stay in the UK and is allowed to do the work in question, or a letter issued by the Home Office or the Border and Immigration Agency to the holder or the employer or prospective employer confirming the same.
4. A certificate of application issued by the Home Office or the Border and Immigration Agency to or for a family member of a national of an EEA country or Switzerland stating that the holder is permitted to take employment which is less than six months old when produced in combination with evidence of verification by the Border and immigration Agency Employer Checking Service.
5. A residence card or document issued by the Home Office or the Border and Immigration Agency to a family member of a national of an EEA country or Switzerland.
6. An Application Registration Card issued by the Home Office or the Border and Immigration Agency stating that the holder is permitted to take employment when produced in combination with evidence of verification by the Border and immigration Agency Employer Checking Service.
7. An Immigration Status Document issued by the Home Office or the Border and Immigration Agency to the holder with an endorsement indicating that the person named in it can stay in the UK, and is allowed to do the type of work in question when produced in combination with an official document giving the person's permanent National Insurance number and name issued by a Government Agency or previous employer.
8. A letter issued by the Home Office or the Border and Immigration Agency to the holder or the employer or prospective employer, which indicates that the person named in it can stay in the UK and is allowed to do the work in question when produced in combination with an official document giving the person's permanent National Insurance number and name issued by a Government Agency or previous employer.

The official document giving your permanent National Insurance Number and name could be a P45, P60, National Insurance card or a letter from HM Revenue and Customs.

Statement of commitment to safeguarding children

We are committed to safeguarding and promoting the welfare of children, and expect all staff and volunteers to share this commitment.

Why we need you to declare your criminal convictions and other related information

The post you are applying for is exempt from the Rehabilitation of Offenders Act 1974 and therefore all convictions, cautions, warnings and bind-overs, unless they are regarded as 'spent', must be declared. Some offences are regarded as never being spent for jobs working with children.

The only people who will see this information will be those directly involved in the recruitment process. All information will be handled in accordance with our Safer Recruitment Procedures and Data Protection Policy. We will ensure that an open and measured discussion takes place about any offences or other matter that might be relevant to the position.

If you are successful at interview, we will require you to obtain an Enhanced Certificate of Disclosure from the Disclosure and Barring Service (DBS), unless you have an existing certificate on the right level and type for the post you have applied for and are registered with the DBS Update Service.

Having a criminal record will not necessarily bar you from working with us. This will depend on the nature of the post you have applied for and the relevance and circumstances of your offences, as set out in our procedures. We also comply with the Disclosure and Barring Service's Code of Practice, which is available on their website at <https://www.gov.uk/government/publications/dbs-code-of-practice>

We ensure that anyone making appointment decisions has the necessary information and support to assess the relevance and circumstances of any offences.

What will happen before interview if you are short-listed

Other than in exceptional circumstances, we will take up detailed references from your current and previous employers before you are invited for interview. If you have worked with children, on either a paid or voluntary basis, your current or previous employer will be asked about disciplinary offences relating to children. We will also ask if you have been the subject of any child protection allegations or concerns and if so, the outcome of any investigation and how the matter was resolved, however your employer should not disclose cases in which an allegation of abuse was proven to be false, unsubstantiated, unfounded or malicious.

What will happen at the interview stage

If you are invited for interview, we shall assess issues relating to safeguarding and promoting the welfare of children including:

- your motivation to work with children;
- your ability to form and maintain appropriate relationships and personal boundaries with children;
- where relevant, your emotional resilience in working with challenging behaviours; and
- where relevant, your attitude to the use of authority and maintaining discipline.

We will also ask you to confirm that you have correctly completed the Criminal Records Declaration Form and discuss with you any information that you have declared.

We will ask you to bring evidence of your right to work in the UK and original certificates of any qualifications required for the post you are applying for.

What will happen if you are offered the post

If you are offered the post, we will ask for evidence of your identity and obtain a certificate of enhanced disclosure from the Disclosure and Barring Service, unless we have agreed to accept a previous certificate issued and carried out a status check using the DBS Update Service which has confirmed there is no additional information available since the certificate was issued.

False Information

Please note that providing false information could result in your application being rejected or your dismissal from employment if you are appointed. The matter may also be referred to the police if we consider that you may have committed a criminal offence.

Reference Request Letter

Date

Name

Job Title

Address

Dear (Name)

Request for a reference for (Name of Applicant) for the post of (Post Title)

(Name of Applicant) has been short-listed for the above post at our school and has given your details as a referee.

I would be grateful if you would complete the attached Reference Form regarding the applicant in order to help us assess their suitability for the post. You may continue on a separate sheet if you wish. I also enclose a job description and person specification of the job the applicant has applied for.

As this job involves working with children, there are a number of questions about your knowledge of the applicant's experience in that area.

Please ensure that the reference is accurate and does not contain any material misstatement or omission. I may need to contact you again to clarify any statement made. In the event of the candidate being successful at interview, I may contact you again for details of their sickness absence history, which does not need to be provided at this stage of the process.

Please be aware that the appointing panel may discuss relevant factual information from the reference with the candidate.

As you can appreciate, it is important that the reference is returned in time for the interviews for this post so that any relevant issues can be discussed with the applicant, therefore I would appreciate if you could complete and return the reference to me no later than (date).

May I take this opportunity to thank you in advance for your help.

Yours faithfully

Enc: Reference Form
Job Description
Person Specification

Reference Request Form – Teaching

**Ashington Learning Partnership
Reference Request – Teaching Staff**

Name of Candidate:	Post applied for:			
<i>Please tick most appropriate comments:</i>	Outstanding	Good	Requires Improvement	Inadequate
Teaching ability				
Class control				
Empathy with children				
Subject knowledge				
Lesson preparation				
Use of Assessment for Learning				
General organisation				
Ability to use ICT				
Relationships with parents/agencies				
Contribution to activities outside the classroom				
Commitment to the school and its community				
Reliability				
As a member of staff	Extremely positive & constructive	Pleasant, good-humoured, sociable	Can be negative/discouraging	Destructive, undermining
Pastoral aptitude & ability	Profound, intelligent concern for children	Responsible and caring	Minimalist	Negligent
Work rate and commitment	Highly professional	Hardworking, good stamina	Adequate	Unsatisfactory
Initiative & Leadership	Outstanding, innovative & highly effective	Above average, moves things forward	Needs direction	Unable to solve problems
Character and personality	Outstanding role model	Mature & reliable	Variable	Unsatisfactory
Career potential	Rising Star – will go beyond post applied for	Should achieve good level of responsibility	Unlikely to progress beyond level applied for	Not suitable for this post

Name of Candidate:		Post applied for:			
Position Held:.....		From:..... To:.....			
Current salary / salary on leaving?					
Subject to any disciplinary procedures where there is a current disciplinary sanction?	Yes	No	Details if yes		
Subject to any capability procedures within the last two years?	Yes	No	Details if yes (Include concerns that gave rise to the action, duration and outcome of process)		
Have you or your colleagues ever had cause for disquiet about the candidates behaviour, conduct, judgement or trustworthiness	Yes	No	Details if yes		
Confirm that you are completely satisfied the candidate is suitable to work with children.	No	Yes	Reasons if No		
Subject to any disciplinary procedure relating to the safety/welfare of children/ young people (including any in which the disciplinary action has expired)?	Yes	No	Details if Yes		
You or your colleagues aware of any allegations/concerns relating to the safety/welfare of children or behaviour towards them?	Yes	No	Details if Yes (Exclude any allegations proven to be false, unsubstantiated, unfounded or malicious, include details of investigations, conclusions and resolutions)		
Given the opportunity would you employ this person again?	No	Yes	Further information		
Has the applicant already left, or indicated and intention to leave your employment?	Yes	No	Please give reason for leaving		
Recommend for post?	Unreservedly recommend		Strongly recommend	Recommend	Would not recommend
Main duties and responsibilities of most recent post:					

Please comment on applicant’s suitability for the post they have applied for, bearing in mind the attached person specification/job description. Descriptions of strengths and weaknesses demonstrated would be helpful.

Any other comments you wish to make:

Name of referee:	Position:
.....	
.....	
Organisation:	Length of time known:
.....	
.....	
Have you known the candidate by any other name: ☐ No ☐ Yes:	Nature of relationship to candidate:
.....	

Signature:	Date:
.....	
.....	
You should be aware that the subject of this reference could request a copy under the Data Protection Act and we would need to make a judgement as to whether to release it in full or in part.	
Thank you for completing the reference. Please be aware that if the candidate is successful at interview we will contact you again to provide details of their sickness absence during the last two years.	

Reference Request Form – Support

		Ashington Learning Partnership Reference Request – Support Staff			
Name of Candidate:	Post applied for:				
<i>Please tick most appropriate comments:</i>	Outstanding	Good	Requires Improvement	Inadequate	
Professional knowledge					
Professional working relationships					
Empathy with children / young people					
Team working skills					
Communication skills					
General organisation					
Ability to use ICT					
Time keeping / punctuality					
Contribution to activities outside the classroom					
Commitment to the school and its community					
Reliability					
As a member of staff	Extremely positive & constructive	Pleasant, good-humoured, sociable	Can be negative/discouraging	Destructive, undermining	
Work rate and commitment	Highly professional	Hardworking, good stamina	Adequate	Unsatisfactory	
Initiative & Leadership	Outstanding, innovative & highly effective	Above average, moves things forward	Needs direction	Unable to solve problems	
Character and personality	Outstanding role model	Mature & reliable	Variable	Unsatisfactory	
Career potential	Rising Star – will go beyond post applied for	Should achieve good level of responsibility	Unlikely to progress beyond level applied for	Not suitable for this post	

Name of Candidate:	Post applied for:			
Position Held:.....	From:..... To:.....			
Current salary / salary on leaving				
Subject to any disciplinary procedures where there is a current disciplinary sanction?	Yes	No	Details if yes	
Subject to any capability procedures within the last two years?	Yes	No	Details if yes (Include concerns that gave rise to the action, duration and outcome of process)	
Have you or your colleagues ever had cause for disquiet about the candidates behaviour, conduct, judgement or trustworthiness	Yes	No	Details if yes	
Confirm that you are completely satisfied the candidate is suitable to work with children.	No	Yes	Reasons if No	
Subject to any disciplinary procedure relating to the safety/welfare of children/ young people (including any in which the disciplinary action has expired)?	Yes	No	Details if Yes	
You or your colleagues aware of any allegations/concerns relating to the safety/welfare of children or behaviour towards them?	Yes	No	Details if Yes (Exclude any allegations proven to be false, unsubstantiated, unfounded or malicious, include details of investigations, conclusions and resolutions)	
Given the opportunity would you employ this person again?	No	Yes	Further information	
Has the applicant already left, or indicated and intention to leave your employment?	Yes	No	Please give reason for leaving	
Recommend for post?	Unreservedly recommend		Strongly recommend	Recommend
Main duties and responsibilities of most recent post:-				

--

Please comment on applicant's suitability for the post they have applied for, bearing in mind the attached person specification/job description. Descriptions of strengths and weaknesses demonstrated would be helpful.

Any other comments you wish to make:

Name of referee:

.....
.....

Position:

.....
.....

Organisation:

.....
.....

Length of time known:

.....

Have you known the candidate by any other name: ☐ No ☐ Yes:

.....

Nature of relationship to candidate:

.....

Signature:

.....
.....

Date:

.....
.....

You should be aware that the subject of this reference could request a copy under the Data Protection Act and we would need to make a judgement as to whether

to release it in full or in part.

Thank you for completing the reference. Please be aware that if the candidate is successful at interview we will contact you again to provide details of their sickness absence during the last two years.

Appendix 9c

Reference Request Form – Personal

		Ashington Learning Partnership Reference Request PERSONAL			
Name of Candidate:		Post applied for:			
Have you or anyone you know ever had cause for disquiet about the candidates behaviour, conduct, judgement or trustworthiness	Yes	No	Details if yes		
Confirm that you are completely satisfied the candidate is suitable to work with children.	No	Yeso	Reasons if No		
Are you or anyone you know aware of any allegations/concerns relating to the safety/welfare of children or behaviour towards them?	Yes	No	Details if Yes (Exclude any allegations proven to be false, unsubstantiated, unfounded or malicious, include details of investigations, conclusions and resolutions)		
Based on the job description attached, would you recommend the candidate for this post?	Unreservedly recommend		Strongly recommend	Recommend	Would not recommend
Please comment on the applicants reliability and trustworthiness and on the strengths and weaknesses the candidate shows in relation to the job description/person specification attached:					

Name of referee: Nature of relationship to candidate:
.....
(You should not be a family member or purely social acquaintance)

Length of time known:..... Have you known the candidate by any other name: ☐ No ☐ Yes:
.....

Signature: Date:.....

You should be aware that the subject of this reference could request a copy under the Data Protection Act and we would need to make a judgement as to whether to release it in full or in part.

Reference Verification Form

This form must be completed by the appointing officer, **for the successful candidate only**, when recruiting to a post that requires a DBS check.

Candidate Name:	
Referee 1	
Name:	
Job Title:	
Company/Other:	
Telephone Number:	
Date Reference Verification Obtained via Telephone:	
Referee 2	
Name:	
Job Title:	
Company/Other:	
Telephone Number:	
Date Reference Verification Obtained via Telephone:	
Questions to ask Referee	
These questions should be asked of both referees (or in the case of an internal candidate, one referee) and recorded below: 1. Did you write the reference? 2. Can you confirm the candidate's current or most recent post and salary? 3. Have you ever had cause for disquiet about this person's behaviour or judgement? 4. Have any allegations or concerns been raised about the candidate relating to safety/welfare of children? Were they investigated? What was the outcome? 5. Is the candidate subject to any current disciplinary sanctions or any disciplinary actions involving issues relating to the safety and welfare of children? 6. If the candidate is no longer working for you, what date and reason was given for leaving? Please outline any areas of concern in the written reference that you wish to discuss with the successful candidate (if none then please write N/A).	

Q	Responses
---	-----------

:	Referee 1	Referee 2
1.		
2.		
3.		
4.		
5.		
6.		

Please clarify anomalies or gaps identified in their reference and any actions to be taken (if none then please write N/A).	

Name of Recruitment Administrator: **Date:**

.....

Signature of Recruitment Administrator: **Date:**

.....

Signature of SBM: **Date:**

.....

Reference Verification – Right to Work in UK/Qualifications

You must satisfy yourself that the documents are genuine and that the person presenting the documents is both the rightful holder and allowed to do the type of work you are offering.

Candidate Name:	
Post:	
Date of Interview & Check:	

Check Undertaken – Right to Work in UK	*Yes	*No	*N/A
Are photographs consistent with the appearance of the person?			
Are dates of birth consistent across documents and with the person's appearance?			
Are expiry dates for time-limited permission to be in the UK in the future i.e. they have not passed (if applicable)?			
Are you satisfied that the documents are genuine, have not been tampered with and belong to the holder?			
Have you checked the reasons for any different names across documents (e.g. marriage certificate, divorce decree, deed poll)? (Supporting documents should also be photocopied and a copy retained.)			

Check Undertaken – Right to Work in UK	*Yes	*No	*N/A
Have certificates for qualifications required in the person spec been provided and copies attached?			
Are you satisfied that the certificates are the original, genuine and in the correct name?			

*** Tick as appropriate**

Please complete form for each candidate then pass to interview panel.

Recruitment Admin **Date**

Blank Interview Grid

Interview - post: Date:

Interviewer:.....

1. Question				
Answers to indicate level of answer or words we'd like to hear				
Outstanding	Good	Satisfactory	Inadequate	Notes
2. Question				
Answers to indicate level of answer or words we'd like to hear				
Outstanding	Good	Satisfactory	Inadequate	Notes
3. Question				
Answers to indicate level of answer or words we'd like to hear				
Outstanding	Good	Satisfactory	Inadequate	Notes
Any questions for us:				

Still a firm candidate **Y / N** Mobile No: Signed:
 (Interviewer

Appointment Meeting - MinutesPost: Date: Time : **Present:**

1.	(Chair)
2.	
3.	
4.	
5.	

Safer Recruitment Trained

☐	Date
☐	Date
☐	Date
☐	Date
☐	Date

**The certificate is available to view
in the Single Central Record**

Interviews:

The following candidates were invited for interview:

	Interviewed/did not attend		Interviewed/did not attend
	Interviewed/did not attend		Interviewed/did not attend
	Interviewed/did not attend		Interviewed/did not attend
	Interviewed/did not attend		Interviewed/did not attend

Application forms for each candidate were scrutinised and appropriate safeguarding questions agreed for individuals to probe gaps and issues highlighted in the application. Questions are attached.

Criminal Records declarations, required qualifications, verified references and Right to Work in the UK was also considered.

Consideration of applications:

After the merits of each applicant were considered, it was agreed that	
--	----------------------

should be conditionally offered the position.

Signed:

(Chair)

Date:

Letter Requesting Absence Information

Date

Name

Job Title

Address

Dear (Name)

Request for information further to the reference for (Name of Applicant)

Further to my earlier request / Thank you for providing the reference for / I would be grateful if you could provide the reference for (Name of Applicant) who has been conditionally offered the role applied for.

A further copy of the reference request letter and form is attached.

I would be grateful if you could now complete and return the slip below. Alternatively, please email the information to us as soon as possible.

Please be aware that the appointing panel may discuss any relevant factual information with the candidate.

May I take this opportunity to thank you in advance for your help.

Yours sincerely

✂.....
.....

Name of Applicant:

Number of days sickness absence in the last two years:

Number of occasions absent in the last two years:

How much of this absence, if any, is disability or pregnancy related:

Any further comments or information:

Signed: Date:

.....

Position:

Conditional Letter of Employment 1

Date

Name

Address

Postcode

Dear XX

Appointment as: XX

School: Bothal / Central Primary School / Ashington Learning Partnership

On behalf of the Governing Body I am pleased to confirm in writing a conditional offer of employment for the above post.

The appointment is to a permanent post.

OR

This is a fixed term contract until (DD Month Year), subject to XXX.

OR

This is a temporary appointment until (DD Month Year), subject to review, at which point you will revert to your substantive post.

Your start date is XXX subject to satisfactory pre-employment checks.

Hours and pay details

This offer of appointment is conditional upon confirmation that the following pre-employment checks are satisfactory:

- proof of identity;
- enhanced certificate of disclosure from the Disclosure and Barring Service (DBS);
- overseas criminal convictions check and/or additional information (as you have lived outside the UK);
- Children's Barred List;
- entitlement to work in the UK;
- qualifications;
- qualified teacher status;
- references; and
- medical fitness.

(Newly Qualified Teacher (if applicable))

The appointment is offered subject to you achieving Qualified Teacher Status (QTS) before taking up the appointment. It is important that you notify the Business Manager of the result of your teacher training as soon as this is known by forwarding a copy of the notification of that result. A check will be undertaken with the Teaching Agency to ensure you hold QTS.

Support Staff – This appointment is subject to our Probation Policy, copy attached.

1. Do you already have an Enhanced Disclosure and Barring Service Certificate for working with children or children and adults?	YES ☐ NO ☐
2. Was this certificate issued to you on or after 17 June 2013?	YES ☐ NO ☐
3. Are you currently registered with the DBS Update Service?	YES ☐ NO ☐
Answer this question only if the answer to ALL THREE questions above is YES: Do you give your permission for the Appointing Officer to carry out a status check with the DBS to confirm that your DBS certificate is up-to-date? Surname on Certificate DOB Certificate Number Certificate Date..... Signature Date	YES ☐ NO ☐

Further to my letter dated I am satisfied that you have an enhanced certificate of disclosure of criminal convictions from the DBS and a status check has not revealed any changes recorded since the date of issue you are not required to complete a DBS application form.

Even if a DBS is not required, the documents below are needed in order to confirm identity, qualifications, the right to work in this country under the provisions of the Immigration Asylum and Nationality Act 2006, a health check and criminal records check before any offer of employment can be considered:

- 1. Confirmation of Identity**
Passport, UK issued Driving Licence (Photo card or paper. A Photo card is only valid if presented with the counterpart driving licence) or Birth Certificate
- 2. Confirmation of Address**
At least 2 Utility Bills (Gas/Electricity/Telephone etc.) or Bank/Mortgage/Credit Card Statement
- 3. National Insurance Number**
P45, P60, National Insurance Card
- 4. Identity documents for Disclosure and Barring Service Check**
Please ensure you bring documentation with you to satisfy the requirements set out in Check 1 below.
- 5. Identity documents to show you are entitled to work in the UK**

Please ensure you bring documentation with you to satisfy the requirement set out in Check 2 below.

New Employee

Please ensure that you obtain from most recent employer, in the current tax year, income tax form P45 when you leave their employment. This form should be forwarded to this office (stating the nature and place of your employment and your assignment number, if known) as soon as this is available. If you are exempt from the Earnings Related Insurance Scheme, then please forward the appropriate form. Failure to comply with this instruction could result in excessive deductions for Income Tax and National Insurance.

Employee Equality Monitoring Form for new person starters (if applicable)

It is important to us to understand how representative our workforce is of our wider community and to check that our processes and practices are accessible and fair to all staff. We also have a legal duty to collect and publish data on this. An Equality Monitoring Form is attached for your completion. The information you give us will be stored confidentially on a secure database. It will only be used to provide an overall picture of employees. It will not influence individual employment decisions and will be kept separate from any job applications. Choosing to complete or not complete this information will not affect your employment opportunities.

You will shortly receive a letter from Employee Services, Northumberland County Council, sent on our behalf, in due course with further details regarding your employment and a statement of your terms and conditions. Please read the documents carefully when they arrive and ensure that you complete any forms as soon as possible, otherwise your appointment could be delayed. If you have any queries on receiving this document, please see me as soon as possible.

Please confirm in writing your acceptance of the post offered, subject to the conditions stated above. Please also sign and return your Job Description asap.

May I take this opportunity to wish you every success in your new post.

Yours sincerely

Enc: Job Description & Person Specification – to be signed and returned
 Probation Policy
 Equality Monitoring Form – to be signed and returned
 ALP Privacy Notice

List of original documents that you must bring in person

Check 1 - Identity documents if a Disclosure and Barring Service Check is needed

Please note that **3 documents** are required and all documents must be in your current name (unless you can provide documentation supporting a recent name change). At least one document must confirm your current address and at least one document must confirm your date of birth. You need to bring:

- one document from Group 1; **and**
- two further documents from Group 1, 2a or 2b.

Group 1 – Primary Trusted Identity Credentials	
Current valid Passport	Biometric Residence Permit (UK)
Current Driving Licence (UK) (Full or provisional) Isle of Man/Channel Islands • Photo card only (a photo card is only valid if the individual presents it with the associated counterpart licence, except Jersey)	Birth Certificate (UK and Channel Islands) – issued at the time of the birth • Full or short form acceptable including those issued by UK authorities overseas, such as Embassies, High Commissions and HM Forces. • Photocopies are not acceptable.

Group 2a – Trusted Government/State Issued Documents	
Current UK Driving Licence (old style paper version)	Current Non-UK Photo Driving Licence (valid only for applicants residing outside of the UK at time of application)
Birth Certificate (UK and Channel Islands) • Issued after the time of birth by the General Register Officer/relevant authority i.e. Registrars • Photocopies are not acceptable.	Marriage/Civil Partnership Certificate (UK and Channel Islands)
Adoption Certificate (UK and Channel Islands)	HM Forces ID Card (UK)
Firearms Licence (UK and Channel Islands)	

Group 2b – Financial/Social History Documents	
Mortgage Statement (UK or EEA)** (Non-EEA statements must not be accepted)	Bank/Building Society Statement (UK or EEA)* (Non-EEA statements must not be accepted)
Bank/Building Society Statement Account Opening Confirmation Letter (UK)	Credit Card Statement (UK or EEA)* (Non-EEA statements must not be accepted)
Financial Statement** - e.g. pension, endowment, ISA (UK)	P45/P60 Statement (UK and Channel Islands)**
Council Tax Statement (UK and Channel Islands)**	Work Permit/Visa (UK) (UK Residence Permit)**
Letter of Sponsorship from future employment provider (Non-UK/Non-EEA only – valid only for applicants residing outside of the UK at the time of application)	Utility Bill (UK)* - not mobile telephone
Benefit Statement* e.g. Child Allowance, Pension	A document from Central/Local Government/Government Agency/Local Authority giving entitlement (UK and Channel Islands)* e.g. from the Department for Work and Pensions, the Employment Service, Customs & Revenue, Job Centre, Job Centre Plus, Social Security
EU National ID Card	Cards carrying the PASS accreditation logo (UK and Channel Islands)

Equality Monitoring Form

It is important to us to check that our employment practices are accessible and fair to all groups of people. These questions are intended to help us to find out about that. We have a legal duty to collect and publish data to show how effective our equality policies are and we are asking all staff to help us to do this by completing this form. The information you give us will be kept confidentially and stored securely and will only be used to provide an overall picture. It will not be used to influence individual employment decisions and will be kept separate from any HR processes. Choosing to complete or not complete this information will not affect your employment opportunities.

Please choose one option for each of the questions listed below and then tick or place an X in the appropriate box. If you do not want to answer some of the questions, please tick the 'Prefer not to answer' box.

Your Name		X						
1.	Are you: Male ☐ Female ☐ Prefer not to say ☐ I would prefer to use the term:							
2.	Please indicate your marital/civil partnership status: Prefer not to say ☐							
3a.	Do you consider yourself to have a disability? Yes ☐ No ☐ Prefer not to say ☐	(The Equality Act 2010 considers a person to be disabled if they have "a mental or physical impairment that has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities".)						
3b.	If Yes, please indicate the type of disability or illness you have. Please tick all those that apply. If none apply please mark 'Other' and give details. ☐ Physical impairment such as difficulty using your arms or mobility issues. ☐ Sensory impairment such as being blind / having serious visual impairment or being deaf / having a serious hearing impairment. ☐ Mental health condition such as depression or schizophrenia. ☐ Long-standing illness or health condition such as cancer, HIV, diabetes, chronic heart disease or epilepsy. ☐ Other (please specify) ☐ Prefer not to say							
4.	Do you have any caring responsibilities? Yes ☐ No ☐ Prefer not to say ☐ If Yes, do you: Look after children ☐ Help someone ill or disabled ☐							
5.	Please indicate which of these groups you consider you belong to: <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> A. White ☐ English/Welsh/Scottish/Northern Irish/British ☐ Irish ☐ Gypsy/Roma ☐ Traveller ☐ Any other White background </td> <td style="vertical-align: top;"> B. Asian/Asian British ☐ Indian ☐ Pakistani ☐ Bangladeshi ☐ Chinese ☐ Any other Asian background </td> </tr> <tr> <td style="vertical-align: top;"> C. Black/African/Caribbean/Black British ☐ African ☐ Caribbean ☐ Any other Black/African/Caribbean background </td> <td style="vertical-align: top;"> D. Mixed/Multiple Ethnic Groups ☐ White and Black Caribbean ☐ White and Black African ☐ White and Asian ☐ Any other mixed/multiple ethnic background </td> </tr> <tr> <td colspan="2" style="vertical-align: top;"> E. Other Ethnic Group ☐ Arab ☐ Any other ethnic group ☐ Prefer not to say </td> </tr> </table>		A. White ☐ English/Welsh/Scottish/Northern Irish/British ☐ Irish ☐ Gypsy/Roma ☐ Traveller ☐ Any other White background	B. Asian/Asian British ☐ Indian ☐ Pakistani ☐ Bangladeshi ☐ Chinese ☐ Any other Asian background	C. Black/African/Caribbean/Black British ☐ African ☐ Caribbean ☐ Any other Black/African/Caribbean background	D. Mixed/Multiple Ethnic Groups ☐ White and Black Caribbean ☐ White and Black African ☐ White and Asian ☐ Any other mixed/multiple ethnic background	E. Other Ethnic Group ☐ Arab ☐ Any other ethnic group ☐ Prefer not to say	
A. White ☐ English/Welsh/Scottish/Northern Irish/British ☐ Irish ☐ Gypsy/Roma ☐ Traveller ☐ Any other White background	B. Asian/Asian British ☐ Indian ☐ Pakistani ☐ Bangladeshi ☐ Chinese ☐ Any other Asian background							
C. Black/African/Caribbean/Black British ☐ African ☐ Caribbean ☐ Any other Black/African/Caribbean background	D. Mixed/Multiple Ethnic Groups ☐ White and Black Caribbean ☐ White and Black African ☐ White and Asian ☐ Any other mixed/multiple ethnic background							
E. Other Ethnic Group ☐ Arab ☐ Any other ethnic group ☐ Prefer not to say								
6.	What is your religion? <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> ☐ No religion ☐ Buddhist ☐ Hindu ☐ Christian (including Church of England, Catholic, </td> <td style="vertical-align: top;"> ☐ Jewish ☐ Muslim ☐ Sikh ☐ Any other religion (state) </td> </tr> </table>		☐ No religion ☐ Buddhist ☐ Hindu ☐ Christian (including Church of England, Catholic,	☐ Jewish ☐ Muslim ☐ Sikh ☐ Any other religion (state)				
☐ No religion ☐ Buddhist ☐ Hindu ☐ Christian (including Church of England, Catholic,	☐ Jewish ☐ Muslim ☐ Sikh ☐ Any other religion (state)							

	Protestant and all other Christian denominations) ☐ Prefer not to say
7.	Which of the following options best describes how you think of yourself? ☐ Heterosexual or Straight ☐ Gay or Lesbian ☐ Bisexual ☐ Other ☐ Prefer not to say

Thank you for your help. Please save your form and email to Nikki.lumley@alptrust.co.uk. Alternatively, print out your form and give to the Business Manager in an envelope.

Conditional Letter of Employment 2

Date

Name

Address

Postcode

Dear XX

Appointment as:**XX****School:****Bothal / Central Primary School / Ashington Learning Partnership**

Further to my letter dated I am satisfied that you have an enhanced certificate of disclosure of criminal convictions from the DBS and a status check has not revealed any changes recorded since the date of issue you are not required to complete a DBS application form.

(If the applicant has completed Box C on the Declaration of Criminal Records Form informing you that they have a DBS certificate of the appropriate type and level issued on or after 17 June 2013, are registered with the Update Service and have given their permission for you to carry out a status check.)

OR

Please make arrangements to bring your DBS certificate of disclosure and criminal convictions into school in order that the appointing officer can check that your certificate is the correct type and level for the position you are applying for and carry out an on-line status check. Please note that this must be the original certificate; photocopies will not be accepted. If your DBS certificate is not the correct type or level or the status check reveals that changes have been recorded since your certificate was issued you will be required to apply for a criminal records check.

OR

If the applicant has completed Box C on the Criminal Records Declaration form informing you that they do not have a DBS certificate issued on or after 17 June 2013, are not registered with the Update Service or have not given you permission to carry out a status check, the school needs to send a DBS application form to the candidate.) You should log into <https://disclosure.capitarvs.co.uk/protocoleducation/> The organisation reference is CENTRALFIRSTSCHOOL and the password is DBSAPP. Applicants Guidance is attached. Please email jayne.hawkins@alptrust.co.uk as soon as you have completed this process and we will then need to arrange for you to bring relevant documents in to verify your submission and complete other paperwork. The Children's Barred List will be checked as part of the DBS process.

As a DBS application is required, we require that you subscribe to the update service so that further DBS applications should not be required in the future. You should subscribe using your application form reference number whilst your application is being processed, or using the certificate number within 19 days of the issue certificate issue date. Please ensure you inform me as to whether the update service has been subscribed to. You are able to claim back the annual costs of this by submitting a claim to school should you wish.

Yours sincerely

Enc: Probation Policy

List of original documents that you must bring in person**Check 1 - Identity documents if a Disclosure and Barring Service Check is needed**

Please note that **3 documents** are required and all documents must be in your current name (unless you can provide documentation supporting a recent name change). At least one document must confirm your current address and at least one document must confirm your date of birth. You need to bring:

- one document from Group 1; **and**
- two further documents from Group 1, 2a or 2b.

Group 1 – Primary Trusted Identity Credentials	
Current valid Passport	Biometric Residence Permit (UK)
Current Driving Licence (UK) (Full or provisional) Isle of Man/Channel Islands • Photo card only (a photo card is only valid if the individual presents it with the associated counterpart licence, except Jersey)	Birth Certificate (UK and Channel Islands) – issued at the time of the birth • Full or short form acceptable including those issued by UK authorities overseas, such as Embassies, High Commissions and HM Forces. • Photocopies are not acceptable.

Group 2a – Trusted Government/State Issued Documents	
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Adoption Certificate (UK and Channel Islands)	HM Forces ID Card (UK)
Firearms Licence (UK and Channel Islands)	

Group 2b – Financial/Social History Documents	
Mortgage Statement (UK or EEA)** (Non-EEA statements must not be accepted)	Bank/Building Society Statement (UK or EEA)* (Non-EEA statements must not be accepted)
Bank/Building Society Statement Account Opening Confirmation Letter (UK)	Credit Card Statement (UK or EEA)* (Non-EEA statements must not be accepted)
Financial Statement** - e.g. pension, endowment, ISA (UK)	P45/P60 Statement (UK and Channel Islands)**
Council Tax Statement (UK and Channel Islands)**	Work Permit/Visa (UK) (UK Residence Permit)**
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Benefit Statement* e.g. Child Allowance, Pension	A document from Central/Local Government/Government Agency/Local Authority giving entitlement (UK and Channel Islands)* e.g. from the Department for Work and Pensions, the Employment Service, Customs & Revenue, Job Centre, Job Centre Plus, Social Security
EU National ID Card	Cards carrying the PASS accreditation logo (UK and Channel Islands)
Letter from Head Teacher or College Principal (16/17 year olds in full time education (only used in exceptional circumstances when all other documents have been exhausted)	

Please note:

If a document in the List of Valid Identity Documents is:

- denoted with * - it should be less than three months old
- denoted with ** - it should be issued within the past 12 months
- not denoted – it can be more than 12 months old.

If you are unable to produce the above combination of documents, then other forms of identification may be acceptable and you should contact us to discuss your particular circumstances.

Guidance Notes

The following will no longer appear on a DBS certificate:

- **For those 18 or over at the time of the offence:**

An adult conviction will be removed from a DBS criminal record certificate if:

- 11 years have elapsed since the date of conviction; and
- it is the person's only offence, and
- it did not result in a custodial sentence.

Even then, it will only be removed if it does not appear on the list of offences relevant to safeguarding. If a person has more than one offence, then details of all their convictions will always be included.

An adult **caution** will be removed after 6 years have elapsed since the date of the caution – and if it does not appear on the list of offences relevant to safeguarding.

- **For those under 18 at the time of the offence:**

The same rules apply as for adult convictions, except that the elapsed time period is 5.5 years.
The same rules apply as for adult cautions, except that the elapsed time period is 2 years.

The following will always appear on a DBS certificate:

Any convictions, cautions, reprimands or warnings in relation to serious offences including sexual offending, violent offending and/or safeguarding must be disclosed in Box B. An indicative list of those offences is available from:

<https://www.gov.uk/government/publications/dbs-list-of-offences-that-will-never-be-filtered-from-a-criminal-record-check>. This is not the complete list as the legislation also extends to cover similar offences committed under the law of Scotland and Northern Ireland or under laws relevant to the armed services.

OVERSEAS CHECKS

If you receive a DBS disclosure from an applicant who has lived abroad within their 5 year address history, the applicant must be able to produce a criminal background check for the period concerned.

Addresses for Foreign Embassies within the UK can be found by using the link below:

<https://www.gov.uk/government/publications/foreign-embassies-in-the-uk>

Criminal Convictions Code of Practice

The code applies to the ALP's responsibilities for obtaining criminal record disclosures for all employees and some volunteers appointed by the ALP. It also sets out the steps it should take to ensure third parties such as external agencies and contractors follow the same arrangements.

This will ensure the ALP follow appropriate and proportionate vetting procedures as part of their commitment to safeguarding and promoting the welfare of children.

1. Legal Considerations

The entitlement to request a check of the Children's Barred List only applies to individuals carrying out "*regulated activity*". This includes:

- **Activity of a specified nature**
 - Teaching, training, instructing, care or supervision of children (except if the person undertaking the activities themselves is under regular supervision) if carried out by the same person frequently or overnight;
 - Advice or guidance provided wholly or mainly for children which relates to their physical, emotional or educational well-being if carried out by the same person frequently, or overnight;
- **Driving a vehicle used for conveying children**
 - Driving a vehicle being only used for conveying children and their carers or supervisors under a contract or similar arrangement when carried out by the same person frequently;
- **Activity within a specified establishment** including schools
 - Any activity that is for or on behalf of the school with the opportunity for contact with children if carried out frequently, excluding work by volunteers under regular supervision or occasional or temporary contract work that is not an activity of a specified nature (as listed above).
- "*Frequently*" means an activity carried out by the same person either once a week or more often, or on four or more days, in a 30-day period. The individual does not need to work with the same children on each occasion nor do they need to work in the same establishment if they are sent to work by an organisation who authorises that work (such as a supply agency or external contractor).
- "*Overnight*" means once or more between 2am and 6am with the opportunity for face-to-face contact with children.
- "*Regular supervision*" means as defined in the DfE statutory guidance on supervision in the context of volunteers working with children, as described in 8.2 below.

It is a legal requirement that an enhanced criminal records certificate is available for all newly appointed school staff carrying out regulated activity. This includes staff in schools that do not work directly with children, for example administrative staff, caretakers and cleaners. Schools have discretion in relation to requiring an enhanced criminal records certificate for supervised volunteers based on a risk assessment of the individual circumstances of the situation. The ALP will always apply for DBS certificates where it is permissible to do so.

Candidates are not required to disclose all criminal convictions as minor and historic convictions are disregarded. Some types of convictions are never disregarded for jobs working with children. Schools are not entitled to ask about those convictions that the law has deemed should be "filtered out" of an individual's criminal records history; they will also not appear on a DBS certificate.

2. Information contained in an enhanced criminal records certificate

An enhanced criminal records certificate includes:

- spent and unspent convictions, cautions, reprimands and final warnings held in England and Wales on the Police National Computer (most of the relevant convictions in Scotland and Northern Ireland may also be included), except for those that are “filtered out” and are not disclosed; and
- where local police records hold data that the police reasonably believes to be relevant to the post, additional information released by the Chief Police Officer. Exceptionally, and in a very small number of circumstances (typically to protect the integrity of current police investigations), additional information may be sent under separate cover to the registered body’s countersignatory and must not be revealed to the applicant.

The filtering rules are as follows:

For those 18 or over at the time of the offence - An adult conviction will be removed from a DBS certificate if:

- 11 years have elapsed since the date of conviction; and
 - it is the person’s only offence, and
 - it did not result in a custodial sentence
- Even then, it will only be removed if it does not appear on the list of offences which will never be removed from a certificate. If a person has more than one offence, then details of all their convictions will always be included.
 - An adult caution will be removed after 6 years have elapsed since the date of the caution – and if it does not appear on the list of offences relevant to safeguarding.

For those under 18 at the time of the offence:

- The same rules apply as for adult convictions, except that the elapsed time period is 5.5 years. The same rules apply as for adult cautions, except that the elapsed time period is 2 years
- Where it is appropriate to request this information as the individual will be engaged in “regulated activity”, the certificate will also confirm that a check of the Children’s Barred List has been undertaken.

3. Additional checks to accompany the criminal records disclosure for overseas staff

Criminal records certificates will not generally show offences committed by individuals whilst living or working abroad (except in the case of service personnel and their families). Therefore, in addition to an enhanced criminal records certificate, additional checks such as obtaining overseas criminal records checks or certificates of good conduct from relevant embassies or police forces are necessary. This does not apply to Foreign Language Assistants where the British Council ensures that criminal records checks are provided by their home country.

The DBS provides detailed guidance on how to undertake additional checks in specific countries.

Where an applicant is from or has lived in a country where criminal record checks cannot be made for child protection purposes, or is a refugee with leave to remain in the UK, and has no means of obtaining relevant information, the school must take extra care in taking up references and carrying out other background checks. For example, additional references should be sought, and references followed up by phone as well as letter.

4. Cost of an enhanced criminal records disclosure and additional checks for overseas staff

The DBS charges an application fee for each enhanced criminal records certificate. There is discretion about whether the individual or the school pays the DBS application fee, although the practice in the ALP is for us to meet these costs. It is expected that applicants meet the costs of any additional overseas checks including any translation costs.

The DBS application fee does not apply to checks for volunteers, including governors, which are free. The DBS defines a volunteer as “a person who performs any activity which involves spending time, unpaid (except for travel and other approved out of pocket expenses), doing something which aims to benefit some third party other than or in addition to close relatives”. However most DBS counter signatories charge an administration fee to cover the costs of processing checks for volunteers. We are required to obtain a DBS for all Governors.

We encourage employees and volunteers to sign up to the DBS update service and the ALP will reimburse the fee for this on production of a valid receipt. This can only be carried out by the DBS applicant themselves.

5. Individuals for whom the school has a mandatory duty to undertake a check of the Children’s Barred List/obtain an enhanced criminal records certificate and portability of previous certificates

5.1 New appointments – paid employees

A Children’s Barred List check and an enhanced criminal records check are mandatory for all school staff newly appointed by the school including those who do not work directly with children. This applies to staff employed on permanent, fixed-term or supply/casual contracts.

The school must ensure the individual applies for a DBS enhanced criminal records certificate if they:

- have never had a DBS certificate;
- have a DBS certificate issued before 17 June 2013;
- have a DBS certificate that is not at the enhanced level, is not for the children’s workforce and/or does not include a check of the Children’s Barred List; or
- have a DBS certificate issued on or after 17 June 2013 but they are not registered with the DBS Update Service.

Further guidance on treating previous criminal records certificates as portable is set out in the Portability section below.

5.2 New appointments – unpaid volunteers

A Children’s Barred List check can only be requested if a volunteer is undertaking “regulated activity”. An enhanced criminal records check is also required for volunteers undertaking “regulated activity”; the school has discretion whether to request an enhanced criminal records check for volunteers not undertaking “regulated activity” i.e. volunteers working on an irregular basis or as supervised volunteers. The definition of “regulated activity” is explained in the Legal considerations section above.

Schools will need to identify in each case whether the level of supervision of a volunteer is sufficient to decide they are not undertaking “regulated activity”. The law requires that supervision must be reasonable in all the circumstances for the purpose of protecting any children concerned, which gives each school the flexibility to determine what is reasonable in each individual case. The duty that supervision must take place “on a regular basis” means that supervision must not, for example, be concentrated during the first few weeks of an activity and then tail off, becoming the exception not the rule. It must take place on an ongoing basis, whether the worker has just started or has been doing the activity for some time. The level of supervision may differ, depending on all the circumstances of a case. The EP should consider the following factors in deciding the specific level of supervision they will require in an individual case:

- the age of the children concerned;
- the number of children that the individual is working with;
- whether or not there are other carers/ adults around;
- the nature of the individual’s work or contact with the children;
- the vulnerability of the children;

- the experience of, and checks carried out on, the person being supervised;
- the number of people being supervised.

The decision regarding whether the individual is undertaking regulated activity must be kept under review.

Having decided that an individual is classed as an irregular or supervised volunteer and therefore not undertaking “regulated activity”, the Executive Principal should consider the following factors when considering whether to exercise discretion to seek an enhanced criminal records check:

- the duration, frequency and nature of contact with children;
- what the school knows about the volunteer, including formal or informal information offered by staff, parents and other volunteers;
- whether the volunteer is well known to others in the community who are likely to be aware of behaviour that could give cause for concern;
- whether the volunteer has other employment, or undertakes voluntary activities where referees would advise on suitability; and
- any other relevant information about the volunteer or the work they are likely to do.

If the EP decides that an enhanced criminal records check is required, the school must ensure the individual applies for a DBS enhanced criminal records certificate if they:

- have never had a DBS certificate;
- have a DBS certificate issued before 17 June 2013;
- have a DBS certificate that is not at the enhanced level, is not for the children’s workforce and/or, where this is necessary, does not include a check of the Children’s Barred List; or
- have a DBS certificate issued on or after 17 June 2013 but they are not registered with the DBS Update Service.

Further guidance on treating previous criminal records certificates as portable is set out in the Portability section below.

5.3 Portability of previous criminal records certificates

Individuals who receive a DBS certificate can choose, for an annual subscription fee (no charge for volunteers), to have their DBS certificate kept up-to-date and use it when they move from role to role, as long as this is within the same workforce and where the same type and level of check is required. Where applicants have registered with the DBS Update Service, appointing officers will be able to carry out an online check to confirm if the certificate the individual has presented for inspection remains current. This check is referred to as a status check. This is intended to allow DBS certificates to be portable between employers and should reduce the need for repeat DBS certificates to be obtained for the same individual.

The ability of the ALP to use its discretion to accept an existing DBS certificate is based on the following principles:

- the applicant produces the original certificate for inspection;
- the person’s identity has been checked to verify the certificate belongs to them;
- the certificate is at the enhanced, not standard, level;
- the certificate is for the “child workforce” or the “child and adult workforce”; and
- the certificate contains a check of the Children’s Barred List (if the school is entitled to request this i.e. only if “regulated activity” will be undertaken)

If the answer to **all** of the above questions is “yes”, the appointing officer should check that the applicant has given permission for a status check to be carried out on their DBS certificate. If the answer to **any** of the above questions is “no”, the individual must apply for a new DBS certificate.

Applicants are asked to confirm whether they are registered with the Update Service when they complete the Criminal Records Declaration Form (Appendix 1) as they apply for the role. They are also

asked on the form to give written permission for a status check to be carried out if they are offered the post.

The appointing officer should check the Criminal Records Declaration Form to ensure that the applicant has given permission for the status check to be carried out. If the answer is “yes”, the appointing officer should carry out the status check. If the answer is “no”, the individual must apply for a new DBS certificate.

A status check is a free, instant online check that the employing organisation carries out to see if any new information has come to light since a DBS certificate was issued. Appointing officers need to follow the steps set out by the DBS to carry out an online status check. Further detailed guidance is provided in the Guidance Notes for Appointing Officers on Checking DBS Certificates (Appendix 2). Depending on the outcome of the status check, the individual may need to apply for a new DBS enhanced criminal records certificate, following the guidance in the procedure for obtaining a new enhanced criminal records certificate section below.

6. Individuals for whom a third party has a mandatory duty to obtain an enhanced criminal records disclosure

Third party providers, rather than the ALP, are responsible for ensuring that their staff have obtained an enhanced criminal records certificate that is judged to be satisfactory and, if the work falls within the definition of regulated activity, checked the Children’s Barred List. It is not appropriate for schools to see the criminal records certificate but they should seek written confirmation from each third party that they have followed safer recruitment practices and undertaken the appropriate vetting checks including an enhanced criminal records certificate.

This includes:

- supply staff engaged by a third party whether from the County Council’s Supply Register or an external agency – further guidance is included in the Procedure for ensuring third party supply staff have enhanced criminal records certificates section below;
- contracted staff for facilities services such as catering, cleaning and caretaking whether from the local authority or an external contractor (currently all staff are employed by ALP);
- third party providers of extended services;
- other public sector staff such as Ofsted inspectors, psychologists, nurses, dentists and centrally employed teachers and support staff who work in schools; and
- trainee teachers undertaking school-based elements of their training.

The school should carry out an identity check of supply staff engaged by a third party to confirm that the individual who arrives to work is the individual that the local authority or agency told them to expect.

7. Individuals for whom the school does not require a criminal records disclosure

7.1 Visitors

It is not necessary to obtain an enhanced criminal records certificate for visitors who will only have contact with children on an ad hoc or irregular basis for short periods of time, or secondary pupils undertaking voluntary work or work experience in our Primary schools. Examples of people who do not require a criminal records disclosure include:

- visitors who have business with the Executive Principal or other staff or who only have brief contact with children with a member of staff present – these people will be informed that they are to have no contact with pupils. When the visitor is taken to the member of staff they are meeting, the admin staff taking them will confirm no pupil contact is appropriate. They will further be identified by a red visitor lanyard. See Security Policy;
- people who visit a school only once but their work takes them into numerous schools as a one-off visit. This would be likely to apply to visiting authors, drama companies, poets and other people who visit an individual school to deliver a one-off session for children, but will repeat

such sessions in other schools on a regular basis and will not therefore have contact with the same children;

- visitors or contractors who come on site only to carry out emergency repairs or service equipment and who would not be expected to be left unsupervised on school premises;
- secondary pupils on Key Stage 4 work experience in other schools or nursery classes, secondary pupils undertaking work in another school as part of voluntary service, citizenship or vocational studies; or Key Stage 5 or sixth form pupils in connection with a short careers or subject placement. In these cases the school placing the pupil should ensure that they are suitable for the placement in question; and
- people who are on site before or after school hours when children are not present: e.g. local groups who hire premises for community or leisure activities.

7.2 Building contractors

Contractors should not require an enhanced criminal records certificate as children should not be allowed in areas where builders are working, for health and safety reasons, so these workers should have no contact with children. If the arrangements are such that contractors will come into contact with children then the provisions for third parties to obtain an enhanced criminal records certificate will apply.

The school should carry out an identity check to confirm that the individual who arrives to work is the individual that the contractor informed them to expect.

8. Procedure for obtaining a new enhanced criminal records certificate

8.1 Application to DBS

Only the applicant who has been conditionally offered the post is required to complete a DBS application form (unless they have an existing certificate that is portable).

The ALP is responsible for ensuring that the individual requiring the enhanced certificate completes the DBS application form and provides the required identity documents. There are three possible routes for confirming the identity of the applicant and schools need to ensure that the appropriate route is followed. Further information is provided in the Guidance Notes for Appointing Officers on Completing DBS Application Forms, see Appendix 21.

It is the responsibility of the appropriate counter signatory to ensure that the DBS application form indicates the type of certificate required (i.e. enhanced level, the relevant workforce, whether or not a check of the Children's Barred List is required and whether or not the check is for a volunteer. A separate check of the Children's Barred List is not required unless the criminal records certificate remains outstanding at the time the individual begins work. The ALP currently utilise an online application system.

The Executive Principal has discretion to allow an employee to start work pending receipt of a criminal records certificate. They should consider carefully the circumstances of the situation before doing so, as set out in the Starting work pending a criminal records disclosure section below.

8.2 Inspection of new DBS certificate issued to the individual

The DBS only produces one copy of the certificate of disclosure, which is sent to the individual.

The individual must be asked to present the original certificate to school for inspection. This should be compared with the Criminal Records Disclosure Form, the information gathered at interview and the information provided by referees.

Where conviction information is disclosed, it should be considered in accordance with the procedure for dealing with criminal convictions and additional information section below and advice should be sought from the Business Manager.

The [DBS Certificate Confirmation Form](#) must be completed by the ALP and returned to Employee

Services. This includes the certificate number and date of issue and can also be used to enter this information onto the school's single central record of recruitment and vetting checks. The school must not retain the original certificate which is the property of the applicant and the DBS's own Code of Practice specifically excludes any paper or electronic copy of the certificate being taken. Some staff request a copy is kept in their personnel files for future reference and safekeeping.

9. Procedure for ensuring staff from external agencies have enhanced criminal records certificates

Before taking on a member of supply staff provided by an external agency, the school must obtain written confirmation that the provider has carried out all of the relevant recruitment and vetting checks including an enhanced criminal records certificate and, if the work falls within the definition of regulated activity, the Children's Barred List.

In relation to criminal records certificates the written notification from the provider must confirm that an enhanced criminal records certificate has been requested, whether or not it has been received and, if received, whether it included any disclosed information. Where there is disclosed information, the school must inspect the certificate before the individual starts work and decide whether or not it is satisfactory.

Any convictions or additional information disclosed should be considered by the SBM/EP in accordance with the Procedure for dealing with criminal convictions and additional information section below.

10. Procedure for dealing with criminal convictions and additional information

10.1 Assessing the relevance of criminal convictions and/or additional information

Criminal convictions, cautions, reprimands, warnings and/or additional information from the police do not automatically make a person unsuitable for work in a school. A person's suitability should be judged in light of all the relevant information available about them including other recruitment and vetting checks if the disclosure has been obtained as part of a recruitment and selection process.

The EP, in consultation with the SBM, must make a judgement about suitability, taking into account only those offences that may be relevant to the particular job or situation in question. A number of points should be considered in deciding the relevance of convictions:

- **the nature of the offence:** in general, convictions for sexual, violence or drug offences will be particularly strong contra-indicators for work with children;
- **the nature of the appointment:** for example, serious sexual, violence, drug or drink offences would be of particular concern where the individual would be providing care and driving or drink offences would be relevant in situations involving transport of children;
- **the age of the offence:** offences which took place many years in the past may often have less relevance than recent ones. However, convictions for serious violent or sexual offences or serious offences involving substance abuse are more likely to give cause for continuing concern than, for instance, an isolated case of dishonesty committed when the person was young. The potential for rehabilitation must be weighed against the need to protect children; and
- **the frequency of the offence:** a series of offences over time is more likely to give cause for concern than an isolated minor conviction.

If an applicant disputes the information provided on the disclosure then either the applicant or the registered body can contact the DBS within 3 months of the date of issue of the disclosure. An applicant registered with the DBS Update Service can also dispute the outcome of the status check. In all cases the applicant should notify the registered body of the dispute in order to prevent a recruitment decision being made before the dispute is resolved.

The ALP's decision about whether the individual is suitable to be appointed to or continue in their role is final.

10.2 Action required if the individual is judged to be unsuitable

The ALP may decide that an individual's criminal convictions and/or additional information provided by the DBS make them unsuitable to work with children. The relevant actions, depending on the individual's position with the school, are:

- an applicant considered unsuitable following a recruitment interview based on the Criminal Records Declaration Form completed by the applicant, the discussion at interview and other pre-appointment checks should not be offered the post;
- an applicant considered unsuitable following a conditional offer of appointment based on an enhanced criminal records certificate and/or additional information obtained from the DBS should have their conditional offer withdrawn;
- a current employee (including those who have started work under respite measures before the criminal records certificate was received) considered unsuitable must be withdrawn by the school immediately pending further enquiries and disciplinary or dismissal procedures may follow;
- a current volunteer considered unsuitable must be withdrawn by the school immediately pending further enquiries and the school may decide not to use their services again; or
- supply staff provided by a third party considered unsuitable must be withdrawn from the school immediately by the agency pending further enquiries and the school may decide not to use their services again.

11. Starting work before an enhanced criminal records certificate is obtained

Ideally a criminal records certificate should be obtained before an employee or volunteer begins work. It must in any case be obtained as soon as practicable after the individual's appointment and the application for a criminal records certificate should be submitted before the individual starts work.

The EP only has discretion to allow employees to begin work pending receipt of the disclosure under respite measures. In the case of Council staff contracted to the school via a Service Level Agreement the local authority will seek written permission from the Executive Principal prior to the individual starting work. Volunteers and third party supply staff/contractors will not be permitted to begin work under respite measures.

The EP must complete the Criminal Records Respite Measures Form for any individual who is allowed to start work before an enhanced criminal records certificate is received and return it to Employee Services. This information will be logged on the single central record.

In all cases the Executive Principal must ensure that all other recruitment and vetting checks, including the Children's Barred List where relevant, have been carried out and the individual is appropriately supervised.

Appropriate supervision for staff who start work prior to a criminal records certificate being received should reflect what is known about the person concerned, their experience, the nature of their duties and the level of responsibility they will carry. For those with limited experience and where references have provided limited information the level of supervision required may be high. For those with more experience and where the references are detailed and provide strong evidence of good conduct in previous relevant work a lower level of supervision should be applied.

It should be made clear to all staff without completed criminal records checks that they are subject to this additional supervision. The nature of the supervision should be specified and the roles of staff in undertaking the supervision spelt out. The arrangements should be reviewed regularly, at least every two weeks until the criminal records certificate is received and judged to be satisfactory.

12. **Policy on secure storage, handling, use, retention and disposal of disclosure information**

Anyone who receives disclosure information must abide by the DBS's own Code of Practice and obligations under the Data Protection Act and other relevant legislation. Failure to abide by that Code can be a criminal offence and the individual subject to a fine or imprisonment. The key points are:

- **Storage and access** - Disclosure information will be kept securely in lockable, non-portable storage containers with access strictly controlled and limited to those who are entitled to see it.
- **Handling** - Disclosure information is only passed to those who are authorised to receive it in the course of their specific duties relevant to recruitment and vetting processes. No photocopy or other image of disclosure documentation may be taken.
- **Usage** - Disclosure information is only used for the specific purpose for which it was requested for which the applicant's full consent has been given.
- **Retention** - Disclosure information is not kept for any longer than is necessary once a recruitment (or other) decision is made. If, in very exceptional circumstances, it is considered necessary to keep disclosure information for longer than six months, the school will seek permission from the DBS and will give consideration to the data protection and human rights of the individual before doing so. Throughout this time the usual conditions regarding secure storage and controlled access will apply.
- **Disposal** - Once the retention period has elapsed any disclosure information will be immediately destroyed by secure means (shredding, pulping or burning). While awaiting destruction the documentation will not be kept in any insecure receptacle (for example, waste bin or confidential waste sack).
- **Record keeping** - Schools will keep a record of the DBS certificate detailing the date of issue, the name of the subject, the type of disclosure requested, the outcome of any check of the Children's Barred List where relevant, the position for which the disclosure was requested, the unique certificate number and the decision taken. This will enable the single central record of recruitment and vetting checks to be accurately maintained.
- **Breaches of security** - Breaches of this policy may be subject to action under the ALP's Disciplinary Procedure.

Criminal Convictions Code of Practice – Governors

This code of practice is statutory for Governors.

The purpose of this code of practice is to set out how criminal record applications and disclosures, for Governors, will be handled.

1 Background

It is an offence for a person who is barred from working with children to apply to become a school Governor. If they are barred from working with children they are automatically disqualified from appointment as a Governor. However, while it is now required to request an enhanced Disclosure and Barring Service (DBS) check; it is still not possible to access the barred list as Governance is not regarded as regulated activity. Criminal convictions that might have led to an individual being placed on the barred list will still appear on the disclosure certificate.

There may also be previous convictions which, while not barring them from working with children, might disqualify them from serving as a Governor under the criteria outlined in Schedule 6 of the School Governance (Constitution) (England) Regulations 2007.

This code of practice will be implemented in conjunction with the code of practice for staff and volunteers as any Governors, also undertaking regulated activity as a member of staff or a volunteer working with the children, may be eligible for a barred list check relating to that activity.

2 Application

The School Governance (Constitution & Federations) (England) (Amendment) Regulations 2016 now require that DBS checks will be undertaken for all Governors not already covered by a relevant DBS certificate. The SBM is responsible for ensuring that Governors requiring the enhanced disclosure completes the DBS application form and provides the required identity documents.

Where a Governor is appointed on or after 1 April 2016, the Governing Body must ensure that such a certificate is applied for within 21 days of being appointed or elected.

An on-line application will be completed and the ALP will ensure that the ID check is completed.

It is proposed that the following control measures are put in place to reduce risk until DBS clearance is received:

- Governors should be permitted to attend Governing Body meetings but should not undertake any visits to classes or take part in activities directly involving children;
- Governors should not be allowed to walk around schools unaccompanied while children are on the premises.

3 Acceptance of Existing DBS Clearances

It is acknowledged that applicants for appointment or re-appointment as Governors may already hold a DBS clearance in respect of another role. Existing DBS disclosures will be accepted under the following circumstances:

- If an individual currently holds a DBS clearance for their role as a Governor and the clearance has been carried out by Northumberland County Council. (Portability of DBS disclosures within Northumberland is permitted in certain circumstances and in the case of school Governors the Governor Support Manager is the Counter signatory and therefore will receive all disclosure information).

- If an individual already holds DBS clearance as a volunteer or member of staff for the school in which they have been appointed/elected as a Governor (in these cases a new clearance will be undertaken on re-appointment).

Only enhanced DBS clearances will be accepted. Therefore, if a Governor has a standard disclosure as part of another role this will not be acceptable.

4 **Exceptional Circumstances**

The position regarding DBS clearances is complex and it is possible that a situation may arise that has not been covered above. In the event of a circumstance arising that has not already been anticipated, the Business Manager will make a decision on the acceptability of existing DBS clearances.

5 **Storage, Use, Retention and Disposal of Disclosure Information**

The DBS Code of Practice for registered persons and other recipients of disclosure information outlines how disclosure information should be handled. The Code of Practice stipulates that disclosure information:

- Should be stored securely in lockable, non-portable storage containers with access strictly controlled and limited to those who are entitled to see it.
- Should only be passed to those who are authorised to receive it in the course of their specific duties.
- Should only be used for the specific purpose for which it was requested for which the applicant's consent has been given.
- Must not be kept any longer than is necessary (and for a maximum of six months) following an appointment decision. If, in very exceptional circumstances it is considered necessary to keep disclosure information for longer, the Council will seek permission from the DBS and will give consideration to the data protection and human rights of the individual before doing so.
- Will be destroyed by secure means once the retention period has elapsed.

6 **Handling of DBS Disclosure Information**

If the information disclosed confirms that the applicant is automatically disqualified from appointment as a Governor as a result of School Governance Regulations the applicant will be informed and will not be appointed.

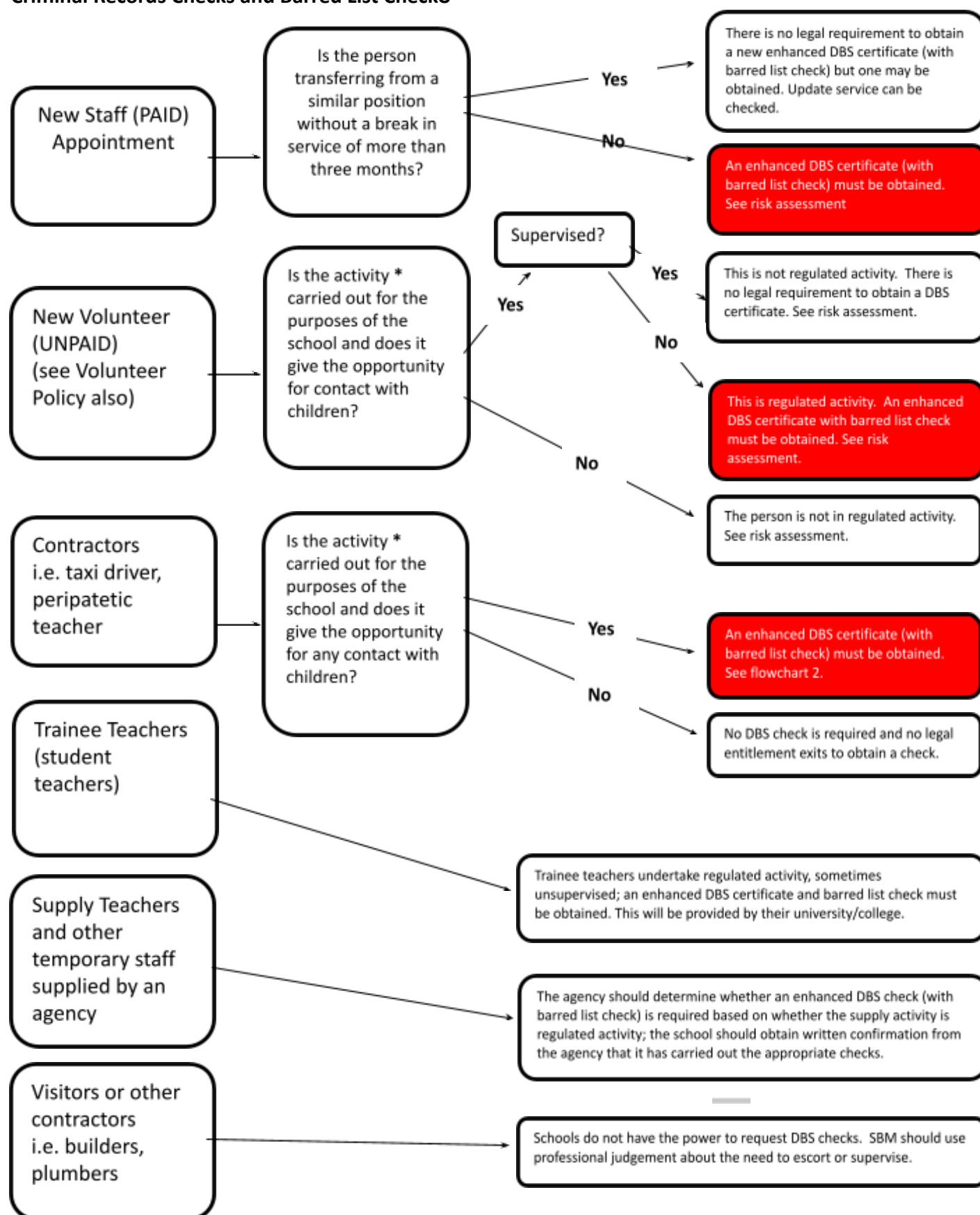
In all other cases the individual's suitability should be judged in light of all the relevant information available about them. The Business Manager will refer the details to the Executive Principal who, if he considers the trace information to be significant, will hold a discussion with the Governor in question to determine whether the details disclosed will impact on their appointment / re-appointment. A number of points should be considered in deciding the relevance of convictions:

- **The nature of the offence:** in general, convictions for sexual, violent, or drug offences will be particularly strong contra-indicators for work with children;
- **The age of the offence:** offences that took place many years in the past may often have less relevance than recent ones. However, convictions for serious violent or sexual offences involving substance abuse are more likely to give cause for continuing concern than, for instance, and isolated case of dishonesty committed when the person was young. The potential for rehabilitation must be weighed against the need to protect children; and
- **The frequency of the offence:** a series of offences over time is more likely to give cause for concern than an isolated minor conviction.

If a concern is received about a Governor while they are in the middle of a term of office they may be requested to undertake DBS clearance. If they refuse, in accordance with school governance regulations, they are automatically disqualified from office. If any disclosure information received while a Governor is in the middle of a term of office raises sufficient concern about the risk posed by the individual continuing in this role, consideration may be given to proposing removal of the Governor.

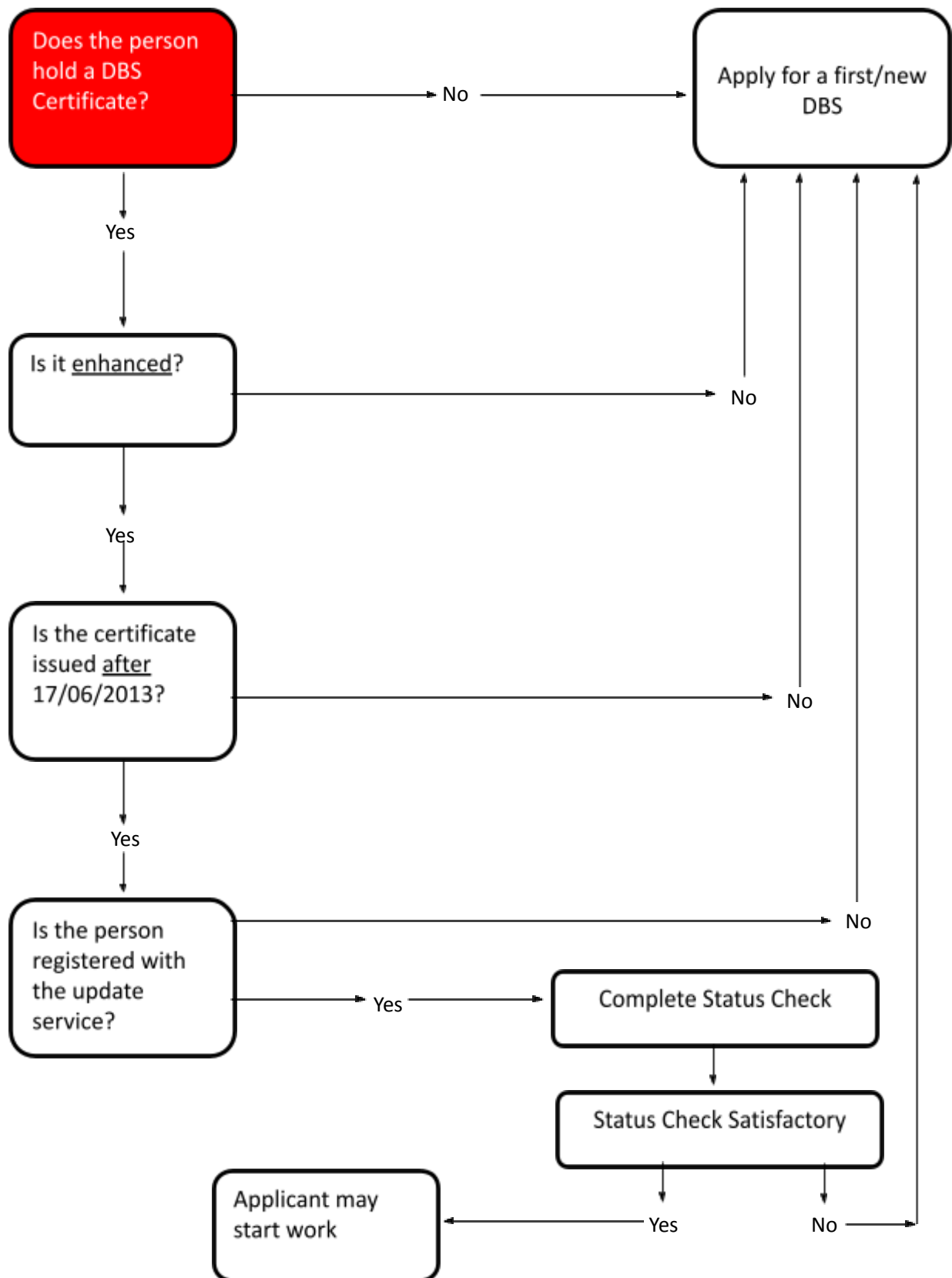
A decision record will be completed in all cases indicating the outcome of the process. This will not include detailed disclosure information. It will only refer to dates of offences, so that if a future DBS check is carried out there is a record of which offences have already been discussed. The decision record will be filed in a sealed envelope and kept within a locked cabinet, marked (Confidential – to be opened by Business Manager only).

**Flowchart 1 of Disclosure and Barring Service
Criminal Records Checks and Barred List Checks**



* Activities listed under the guidance's definition of regulated activity and which are carried out 'frequently'.

Flowchart 2 of Disclosure and Barring Service



School:		Name of volunteer:	
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Question 1: Regularity	Answer	Next step
Is the individual working in school on a regular basis? ('Regular' is clarified by the DfE as once a week or more, 4 times or more in 30 days or overnight)	YES/NO	NO = volunteer is not in regulated activity. Go to section B2. YES = volunteer may be in regulated activity unless supervised. Go to question 2.

[illegible]

	is "reasonable" to determine this volunteer is a supervised volunteer?		YES= the volunteer is not in regulated activity. Go to Section B2.
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Section B: Pre-appointment checks required

Determination	Tick as appropriate	Check to be carried out
Either: 1. The volunteer is in Regulated Activity	☐	Children's Barred List - YES Mandatory enhanced criminal records check - YES
Or: 2. The volunteer is not in Regulated Activity and: - no criminal records checks are required OR - no criminal records checks are required but school wishes to exercise the discretion to request a criminal records check	Please tick one of the options below ☐ ☐	No checks to be carried out. Children's Barred List - NO Discretionary enhanced criminal records check - YES

Section C: Charge for criminal records check

Question	Answer	Type of check
Please confirm if this volunteer benefits directly from their position in school? Are they: - in receipt of any payment (except for travel and other approved out-of-pocket expenses? - on a work placement? - on a course that requires them to do this job role? - in a trainee position that will lead to a full time role/qualification?	YES/NO YES/NO YES/NO YES/NO	If the answer to all of the questions below is NO the request is for a free of charge volunteer check. Please note that if the answer to any of these questions is YES there will be a charge for the check.

Signed: _____

Date: _____

Actions

- Send Employee Services this form only if you decided to request pre-appointment checks to be carried out for this volunteer.
- Keep a copy of this form as evidence to support your single, central record of recruitment and vetting checks.

Guidance Notes on Checking DBS Certificates

Introduction

The rules relating to criminal records disclosures changed on 17 June 2013. Disclosure & Barring Service (DBS) will send the disclosure directly to the individual and not the prospective employer.

An individual applies for a disclosure once and the certificate is used thereafter throughout their career as they move from employer to employer. There is no longer the need to have separate disclosures for any secondary employment or voluntary work provided it involves work with the same vulnerable group (children and/or adults).

The DBS Update Service is an online system which simply verifies whether a disclosure is current and whether any new information about the applicant has become available since the DBS issued the disclosure.

Appointing Officers need to ask the applicant to produce their DBS certificate as part of the recruitment procedure.

A New DBS Disclosure

In the following situations you will still need to ask the applicant to apply for a new criminal records disclosure:

- the applicant has never had a disclosure before
- the applicant's disclosure was issued before 17 June 2013, or
- the applicant's disclosure was issued on or after 17 June 2013 but they have not registered with the DBS Update Service.

Appointing Officers must inspect the applicant's DBS certificate to:

- ensure that the certificate is an original certificate and not a copy;
- satisfy themselves that, following robust ID checks, the person being checked is the person that is named on the certificate;
- ensure the certificate is for the correct workforce as indicated in the 'Position Applied For' section i.e. 'Child Workforce' or 'Child and Adult Workforce';
- ensure the certificate is at the same level as the check required for this role i.e. Enhanced;
- ensure the certificate includes a check against the appropriate Barred List if you are legally entitled to do this (i.e. if the person will undertake regulated activity).

If the answer to any of the above questions is "no", the individual must apply for a new DBS certificate.

If the answer to all of the above is "yes" then you need to only carry out a Status Check. If the applicant has not given permission for a Status Check then the individual must apply for a new DBS disclosure.

Carrying out the Status Check

Applicants are asked to confirm whether they are registered with the Update Service when they complete the Criminal Records Declaration Form. They are asked on the form to give written permission for a Status Check to be carried out.

A Status Check is a free, instant online check that the employing organisation carries out to see if any new information has come to light since a DBS certificate was issued.

Step 1 – Ensure you are legally entitled to carry out the check

You can only carry out a Status Check if you are legally entitled to carry out a DBS check and the individual's DBS certificate is the same type and level as you need.

Step 2 – Access the on-line DBS Update Service

1. Go to <https://www.gov.uk/disclosure> and search for the DBS Update Service.
2. Enter the name of your organisation.

3. Enter your forename and surname.
4. Enter the details of the DBS Certificate being checked. All of the details requested are mandatory:
 - enter the DBS Certificate number;
 - enter the current surname of the DBS Certificate holder (as specified on their DBS Certificate);
 - enter the date of birth of the DBS Certificate holder (as recorded on the DBS Certificate) in the format DD/MM/YYYY.

Step 3 – Complete the legal declaration

You will be presented with the following Legal Declaration:

“I confirm I have the authority of the individual to which this DBS Certificate number relates to receive up-to-date information (within the meaning of section 116A of the Police Act 1997) in relation to their criminal record DBS Certificate for the purposes of asking an exempted question within the meaning of section 113A of the Police Act 1997; or in relation to their enhanced criminal record DBS Certificate for the purposes of asking an exempted question for a prescribed purpose within the meaning of section 113B of the Police Act 1997.”

You must tick the ‘I agree with the legal declaration’ check box to proceed.

Step 4 – Consider the Status Check results

You will be presented with the result of the check which should print out and store it safely and securely in line with the County Council’s policy. You will receive one of the following messages:

Option 1 “This DBS Certificate did not reveal any information and remains current as no further information has been identified since its issue”

This means:

- the DBS Certificate when issued was blank i.e. it did not reveal any information about the person; and
- no new information has been found since its issue and it can therefore be accepted as being still current and valid

Option 2 - “This DBS Certificate remains current as no further information has been identified since its issue”

This means:

- the DBS Certificate revealed information about the person; and
- no new information has been found since its issue and it can therefore be accepted as being still current and valid.

The appointing panel should now consider the contents of the original DBS disclosure alongside information gathered on the Criminal Records Declaration Form.

Option 3 - “This DBS Certificate is no longer current. Please apply for a new DBS check to get the most up-to-date information”

This means:

- new information has come to light since the DBS Certificate was issued and you will need to apply for a new DBS check to see this new information

Option 4 - “The details entered do not match those held on our system. Please check and try again”

This means either:

- the individual has not subscribed to the Update Service; or
- the DBS Certificate has been removed from the Update Service, or
- you have not entered the correct information

In the last two cases the appointing officer must ask the applicant to complete a DBS application and make their new certificate available for inspection before considering the contents.

Criminal Records Respite Form

Other than in exceptional circumstances successful candidates should not start work before an enhanced certificate from the Disclosure and Barring Service (DBS) has been made available by the applicant for inspection by the school. In such exceptional circumstances, **where pupils may be placed at risk or continuity of education is in jeopardy**, the Executive Principal may give their consent for an individual to start work prior to inspection of the DBS certificate under respite measures.

Name of Employee:

School: **Bothal Primary** ☐ **Central Primary** ☐

Proposed Start Date:

Part 1

I confirm that:

The applicant has completed a Criminal Records Declaration Form during the recruitment process and I am satisfied that on the basis of the information provided that the individual is suitable to work with children.

I have undertaken the following pre-employment checks:

- o Check of Children's Barred List (where the post is within the definition of "regulated activity")
- o Identity check to include photographic evidence and proof of address
- o Verification of the candidate's medical fitness to start employment
- o Verification of qualifications (if applicable)
- o Verification of professional status (if applicable)
- o Two satisfactory references including, where applicable, a reference relating to the person's last period of employment involving work with children.
- o A full employment history, together with a satisfactory written explanation of any gaps in employment.

The applicant has completed a Disclosure and Barring Service application form to obtain an enhanced certificate which they will make available for inspection once they receive it.

I confirm that the above information has been documented and recorded.

I will ensure that appropriate arrangements are put in place for the training and additional supervision of the individual until the DBS certificate has been inspected and confirmed as satisfactory.

Signature:		Date:	
Print Name:			

Part 2 Executive Headteacher

The operational requirements of the school cannot be met unless the individual starts work before their DBS certificate is available for inspection and there are no other staff that are available to cover the post.

I authorise the above individual to start work within the school under respite measures pending the inspection of an enhanced DBS certificate relevant to the children's workforce. I accept full responsibility and accountability in respect of allowing the above mentioned employee to start at this stage and will ensure appropriate supervision is put in place until the certificate has been inspected and confirmed as satisfactory.

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Signature:		Date:	
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Appointment Checklist – Ashington Learning Partnership

Full Name of Successful Applicant	
Position	

DOCUMENTATION TO BE FORWARDED TO: Employee Services, County Hall, Morpeth, NE61 2EF		
Document	Advice	Enclosed (Please tick)
Appointment Statement (Discuss and agree salary details (Check Threshold status for teachers only))	Required for all appointments	
Application Form	Required for all appointments	
Confirmation that Health Questionnaire has been completed and sent to external OHU	For all NEW appointments or any internal appointment that involves a significant change in duties	
References x 2 and verification form	Required for all appointments	
Identity, Qualifications and Professional Registration Form	Required for all appointments	
Copies of qualifications and professional registrations	If required for the position	
Immigration, Asylum and Nationality Act 2006 Form Appendix 1	Required for all appointments	
Copies of documentary evidence seen supporting Immigration, Asylum and Nationality Act 2006	Required for all appointments	
Confirmation of DBS application online PLUS List 99 email OR Evidence of update service check	Required for all appointments	
Copy of conditional offer of employment letter	Required for all appointments	
Copy of job description and person specification	Required for all appointments	

Name of Appointing Officer	
Position	
Contact Telephone Number	
Signature	
Date	

Confirmation That All Pre-Employment Checks Complete

Date

Name

Address

Postcode

Dear XX

Appointment as: XX

School: Bothal / Central Primary School / Ashington Learning Partnership

On behalf of the Governing Body I am pleased to confirm in writing a firm offer of employment following the satisfactory completion of required pre-employment checks.

- Proof of identity
- Enhances certificate of disclosure (DBS)
- Oversees checks
- Children's Barred List Check
- Entitlement to work in the UK
- Required qualifications
- 2 references
- Medical fitness

Please be aware that the following is still required:

- Confirmation that you signed up to the update service;
- Equality monitoring form;
- Written acceptance of the post offered
- Signed Job Description

You will receive a statement of your terms and conditions from Northumberland County Council on our behalf within 8 weeks of your start date. Please ensure you read these carefully and contact me as soon as possible if you have any queries.

Again, I wish you an enjoyable and successful time at the Ashington Learning Partnership.

Yours sincerely

Roles and Responsibilities

1 Governing Body

The Governing Body has responsibility for adopting, developing and reviewing this policy and procedure and ensuring that effective monitoring systems and procedures are in place. The Governing Body will ensure:

- The school has effective policies and procedures in place for the safe and fair recruitment and selection of staff and volunteers in accordance with Department for Education guidance and legal requirements.
- The ALP's compliance with the policies and procedures is monitored.
- That appropriate employees and governors have completed Safer Recruitment training.
- that the schools operates safe recruitment practices and that all appropriate checks are carried out on staff and volunteers who work with children.

The Governing Body has overall responsibility for all staff appointments under the School Staffing (England) Regulations 2009 for maintained schools. The Governing Body has delegated responsibility for appointing staff, except the Executive Principal (EP). (Statutory guidance states that governors should delegate the responsibility for all staff appointments outside the leadership group to the EP.)

Members of the Governing Body may be involved in dealing with grievances or complaints about the recruitment and selection process from applicants.

The appointing panel will:

- ensure that the recruitment and selection process is carried out fairly, without unlawful discrimination and that children are not put at risk by failing to recruit staff in line with the procedures to safeguard children;
- select an applicant to appoint.

The SBM will:

- plan and manage the recruitment process;
- agree the job description, person specification and advert;
- arrange short-listing and appointment panels and appoint a chair (where relevant);
- make an offer of appointment to the selected applicant and explain that this is conditional on the necessary pre-appointment checks;
- check the selected applicant's sickness absence record with their referees after they have been conditionally offered the job;
- ensure all pre-appointment checks are satisfactory;
- ensure a single central record of recruitment and vetting checks is maintained;
- ensure that the ALP operates safe and fair recruitment and selection procedures which are regularly reviewed and up-dated to reflect any changes to legislation and statutory guidance;
- ensure that all appropriate checks have been carried out on staff and volunteers in the ALP;
- monitor any contractors' and agencies' compliance with this document;
- ensure that all new employees apply for an enhanced criminal records certificate from the DBS, unless they have an acceptable existing certificate and are registered with the DBS Update Service, and undertake any necessary additional checks if the person has previously lived overseas;
- decide whether a new unpaid volunteer needs to apply for an enhanced criminal records certificate and/or Children's Barred List check and undertake any necessary additional checks if the person has previously lived overseas;
- ensure that the necessary identity documents are checked and copied and that the validation process for identity checks is properly administered;

- consult with the EP whether a criminal conviction and/or additional disclosed information makes a selected candidate or current employee or volunteer unsuitable for the work they do;
- seek assurance from supply agencies and external contractors that their staff have satisfactory criminal records and, where relevant, are not included on the Children's Barred List and the third party provider is following the full range of safer recruitment practices;
- ensure that the criminal records check and other pre-appointment checks are recorded on the school's single central record of recruitment and vetting checks; and
- ensure that criminal convictions information is treated confidentially and only disclosed and retained as allowed for in this Code of Practice.

The EH will:

- decide how the vacancy is to be filled;
- decide whether to pay interview expenses.
- promote the safety and well-being of children at every stage of this process.
- decide whether a new employee can start work before a newly applied for enhanced criminal records certificate is received under the respite measures set out in this Code of Practice.

3 The SBM is responsible for managing the administration of the recruitment and selection process. The SBM will appoint a recruitment administrator to:

- issue application packs;
- send an interview letter to and request references for short-listed applicants;
- inspect and copy proof of identity and qualifications documentation provided by the interviewees;
- arrange for the successful applicant to complete an online DBS application form and health declaration form;
- send documentation to Employee Services to enable a written statement of terms and conditions to be issued;
- maintain the recruitment file and retain this for four months following the appointment; and
- maintain the single central record of recruitment and vetting checks.

4 Employee Services, on behalf of the ALP, will:

- issue statements of particulars to employees; and
- arrange for employees to be paid.

Definitions

Employee: full time, part time, permanent and temporary teachers and support staff who undertake to do work under an employment contract for the ALP, personally. Employees are entitled to a wide range of employment rights.

Worker: full time, part time, permanent, temporary individuals who undertake to do, or perform personally, work or a service for the ALP, whether under a contract of employment or any other contract for a reward. 'Worker' includes agency workers, casual workers, but normally excludes those who are self-employed and work that is part of a client or customer relationship. Workers are entitled to some employment rights, including holiday pay and protection against unlawful discrimination.

Volunteer: individuals who willingly, without being required to, carry out unpaid work for the ALP.

Staff: employees, workers and volunteers.

Regulated activity (includes):

- Teaching, training instructing, caring for or supervising children if the person is unsupervised, or providing advice or guidance on physical, emotional or educational wellbeing, or driving a vehicle only for children;
- Working for a limited range of establishments (known as 'specified places', which include schools and colleges), with the opportunity for contact with children, but not including work done by supervised volunteers.

The above definitions are classified as regulated activity if they are done regularly. Some activities are always regulated activities, regardless of frequency or whether they are supervised or not. This includes:

- Relevant personal care, or health care provided by or provided under the supervision of a health care professional. Personal care includes helping a child with eating or drinking for reasons of illness or disability or in connection with toileting, washing, bathing and dressing for reasons of age, illness or disability. Health care means care for children provided by, or under the direction or supervision of, a regulated health care professional.
- A supervised volunteer who regularly teaches or looks after children is **not** in regulated activity.

Teaching role: refers to a role involving planning and preparing lessons and courses for pupils; delivering lessons to pupils; assessing the development, progress and attainment of pupils; and reporting on the development, progress and attainment of pupils. These activities are **not teaching work** for the purposes of Keeping Children Safe in Education (KCSIE) 2018 if the person carrying out the activity does so (other than for the purpose of induction) subject to the direction and supervision of a qualified teacher or other person nominated by the Executive Principal to provide such direction and supervision.

Standard DBS: this provides information about convictions, cautions, reprimands and warning held on the Police National Computer, regardless of not whether they are spent under the Rehabilitations of Offenders Act 1974.

Enhanced DBS: this provides the same information as the standard check, plus any additional information held by the police which a chief officer reasonably believes to be relevant and considers ought to be disclosed.

Enhanced with barred list check: this check is required when people are working or seeking to work in regulated activity with children. This check allows for additional checks to be made as to whether the person appears on the children's barred list.

Children's barred list: the DBS maintains a 'barred list' of individuals who are unsuitable to work with children and vulnerable adults. In addition, where an enhanced certificate is obtained, and this includes a barred check list, the certificate will also detail whether the applicant is subject to a direction under section 128 of the Education and Skills Act 2008 or section 167A of the Education Act 2002 prohibiting that individual from taking part in the management of independent educational institutions.

Section 128 check: this provides for the Secretary of State to direct that a person may be prohibited or restricted from participating in the management of an independent school (which includes academies and free schools).

Safer recruitment: this is the safeguarding and protection of pupils during the recruitment and selection process – its overall purpose is to help identify and deter or reject individuals who are deemed to be at risk of abusing children.