Diocese of Norwich Education and Academies Trust

Recruitment and Selection Policy and Procedure

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Our Christian Ethos and Values
All policies within the Diocese of Norwich Education and Academies Trust (hereafter referred to as "the Trust"), whether relating to an individual academy or the whole Trust, will be written and implemented in line with our Christian ethos and values.

We have high ambition for all, and we truly value the wider educational experience.

We walk and talk our Christian values. We put people at the centre of the organisation and want to see them flourish and grow. Our schools are inclusive, welcoming those of all faiths and none.

Overall accountabilities and roles
The Trust has overall accountability for all its academies and staff. Through a Scheme of Delegation for each academy it sets out the responsibilities of the Trust, its Executive Officers, the Local Governing Body and the Principal / Head Teacher. The Principal / Head Teacher of each academy is responsible for the implementation of all policies of the Trust. All employees of the Trust are subject to the Trust's policies.

Contents

1. Policy Statement 3
2. Scope and Purpose 3
3. Links to other policies 3
4. Delegation of Appointments and Constitution of Appointments Panels 4
5. Planning for the recruitment and selection process 4
6. Advertising 7
7. Shortlisting Applications 7
8. Interviews 8
9. References 10
10. Conditional Offers of Employment and Pre-Employment Checks 11
11. Personnel file and Single Central Record 14
12. Induction and Probation 15

Appendix 1: Shortlisting log of gaps and inconsistencies 16
Appendix 2: Self-Disclosure Form 17
Appendix 3: Declaration of Address and Name History 20
Appendix 4: Confirmation that original DBS certificate has been seen 22
Appendix 5: DBS Risk Assessment 23
Appendix 5: Overseas Risk Assessment 27
Appendix 6: Referee Verification Proforma 30

Recruitment Selection Policy and Procedure

1. Policy Statement

Safeguarding

All academies within the Diocese of Norwich Education Academies Trust (hereafter known to as "the Trust") are required to implement robust and consistent safer recruitment and selection practices, to ensure that individuals who are not suitable to work with our learners are denied any opportunity to do so. Trustees and every Trust Academy share a commitment to safeguarding and promoting the welfare of children and young people, and it is recognised that every individual is responsible for realising this commitment.

Each Academy's safer recruitment and selection practices are regularly reviewed by the Trust alongside the Head of Safeguarding, and any actions required are reported to the relevant Governing Body and the Trust. All staff involved in recruitment and selection processes are fully trained and resourced to fulfil their responsibilities.

Equality

Alongside our commitment to safeguarding we are committed to equality of opportunity, and value diversity and the different contributions that the people who become members of our staffing community are able to make. All staff will be selected on the basis of their knowledge, experience, skills, abilities and potential, and will be chosen because they will successfully and positively add value, raise standards and bring the Trust's values to life; regardless of race, nationality, ethnic origin, religious or political belief or affiliation, trade union membership, age, gender, gender reassignment, marital status, sexual orientation, disability, socio-economic background, or any other inappropriate distinction.

Our safer recruitment and selection practices will be fair and implemented with due to regard to the Equality Duty; they will contribute to our standing as an Employer of Choice, and to engaging a staffing community that reflects the diversity of the communities we serve.

2. Scope and Purpose

This Policy and procedure solely concerns the recruitment and selection of all employees. For people wishing to apply to work with us it provides an overview of the safer recruitment and selection processes that they can expect. For staff with specific responsibilities in relation to safer recruitment and selection processes, it provides a reminder and overview of the key elements in the Trust's Safer Recruitment process.

3. Links to other policies

The Trust has a separate Volunteer Policy which describes the safer recruitment and selection processes that apply to volunteers; however some aspects of this Policy and procedure will be relevant.

Other policies with links to this Policy include the Trust's / Academy's:

- Safeguarding Policy
- Recruitment of Ex-Offenders Policy Statement
- Secure handling of information provided by the Disclosure and Barring Service (DBS) Policy
- Reference Policy (providing and requesting)
- Equal and Diversity Policy for Employees
- Speak Up Policy
- Data Protection Policy

This policy, procedure and the policies listed above are compliant with the statutory guidance Keeping
Children Safe in Education 2024, The Education (Independent School Standards) Regulations 2014, The Disclosure and Barring Service Code of Practice, The Equality Act 2010 and the Equality Duty.

We will ensure compliance strictly in accordance with all Data Protection regulations and the more stringent requirements contained within the General Data Protection Regulations (GDPR). The GDPR encompasses the core principles of the DPA and provides responsibility and accountability for fair and transparent processing.

4. Delegation of Appointments and Constitution of Appointments Panels

4.1 The Trust delegates the power to offer employment for all posts below the level of Headteacher / Principal (primary academies) and Deputy Headteacher / Principal (secondary academies) to the Headteacher.

4.2 The Headteacher / Principal is expected to involve at least one Governor in the appointment of all teaching staff.

4.3 Selection panels will comprise a minimum of two people (normally three). In accordance with the statutory requirement, every selection panel will have at least one member who has undertaken Safer Recruitment Training.

4.4 Headteacher / Principal appointments (and Deputy Head / Principal in secondary academies) are overseen by the Trust's Chief Executive Officer (CEO) and will involve at least one Trustee. The CEO will ensure involvement of local governance throughout the recruitment process. Final decision making is retained by the Trust Board.

5. Planning for the recruitment and selection process

The recruitment and selection process is managed in three stages:

➢ Planning for the process ➢ Running the process ➢ Making a conditional offer of employment and completing pre-employment checks

Before a role becomes a live vacancy the requirements of the Academy will be reviewed, in the context of the Trust, the Scheme of Delegation, the Academy and the Academy's approved budget. When a vacancy is identified the following parts of the process are prepared:

5.1. Job Descriptions and Person Specifications

Where a vacancy is identified, the job description and person specification will be written or reviewed to ensure that they reflect the requirements of the role and the Trust's Christian ethos. Where new roles are identified, job descriptions are to be requested from the HR department, and will be subject to the job evaluation policy and procedure to ensure that they are fairly assessed and equal pay grading is allocated accordingly.

A job description summarises the main duties and responsibilities of a role, whilst the person specification details the attributes needed to be able to successfully perform them. The five categories of attributes in the person specification are Education and Qualifications, Skills and Abilities, Experience, Knowledge and Understanding and Other Requirements. The specification will state whether the attributes are essential or desirable, and how it's intended the attributes will be measured during the selection process e.g. application, interview, test, observation etc.

Job descriptions and person specifications will always state the relevant duties, responsibilities and attributes in relation to safeguarding and promoting the welfare of children and young people. Care will also be taken to ensure that attributes stated on the person specification are objective, do not inadvertently discriminate and enable potential applicants to assess whether they may be suitable for the role.

5.2. Application information packs

5.2.1. Applicant information packs are made available on the job advertisement and will always include:

- Information about the Trust, the Academy and the role
- Job description and person specification
- Application form
- Safeguarding Policy
- Recruitment of Ex-Offenders Policy Statement
- Trust Recruitment and Selection Policy and Procedure

The Trust will provide a copy of the safeguarding and child protection policy and practices and policy on employment of ex-offenders in the applicant pack or refer to a link on the Trust's website for applicants to access.

5.2.2. Within the recruitment pack, advert and/or application form, the following statements will be made:

- For all posts, a statement will be included, including in the person specification, to make clear the Trust's commitment to safeguarding and promoting the welfare of children: "*The Trust is committed to safeguarding and promoting the welfare of children and young people and expects all staff and volunteers to share this commitment*."
- All appointed candidates will be subject to an online check as stated in Keeping Children Safe in Education.
- References will only be collected for short-listed candidates. The panel may approach previous employers for information to verify particular experience or qualifications before the interview.
- If the applicant is currently working with children, on either a paid or voluntary basis, their current employer will be asked about disciplinary offences relating to children, including any in which the sanction is time expired. They will also be asked whether the applicant has been the subject of any child protection concerns and, if so, the outcome of any enquiry or disciplinary procedure. If the applicant is not currently working with children but has done so in the past, that previous employer will be asked about those issues.
- Where appropriate, the successful applicant will be required to provide a DBS disclosure at the appropriate level for the post and where relevant sign a childcare (disqualification) regulations declaration.
- The applicant will be notified that providing false information is an offence and may adversely affect any contract of employment.
- If the post is exempt from the Rehabilitation of Offenders Act 1974, it will include the following wording: *This post is exempt from the Rehabilitation of Offenders Act and you will be required to undergo an Enhanced DBS check or Enhanced DBS check with barred list. If you have information to declare it may be protected under the Exceptions Orders and you may not be required to declare it. You will be asked to make a criminal conviction declaration if you are shortlisted for the post.* Guidance about whether a conviction or caution should be disclosed can be found on the Ministry of Justice website.
  Posts which involve substantial access to children are exempt from provisions contained within the Rehabilitation of Offenders Act 1974.
- If the job for which a candidate has applied for involves substantial access to children and they have been shortlisted for the post, they will be provided with a form on which they will be asked to disclose any relevant previous criminal background. The Trust will provide more information on protected offences at that stage.
- Reference is made to the Christian values and ethos of the Trust and its academies.

5.2.3. The Trust will use an application form to obtain a common set of core data from all applicants. The application also invites candidates to support their application with a supporting letter.

5.2.4. The Trust do not accept CVs with a fully completed accompanying application form.

5.2.5. Applicants will be requested to sign their application form, and where this is completed electronically at the point of application, shortlisted candidates will be requested to physically sign a hard copy at the point of interview.

5.2.6. Any incomplete application forms will not be accepted or put forward for shortlisting.

6. Advertising

6.1 All vacant posts will be advertised to ensure equality of opportunity and encourage as wide a field of candidates as possible. This will normally mean placing an advertisement externally.

6.2 Where there is a reasonable expectation that there are sufficient, suitably qualified internal candidates, or staff are at risk of redundancy who require redeployment, vacancies may be advertised internally before an external advertisement. In these circumstances, the selection panel may decide that certain parts of the recruitment process may be omitted but all candidates will be subject to completing an expression of interest form, a formal interview, the satisfactory reference requirements and any other necessary checks as a minimum requirement

6.3 There may be exceptional circumstances where a position may be ring fenced and no internal advertisement is placed for example this could be when an existing Headteacher of a school becomes Executive Headteacher over another school following a decision not to appoint a substantive Headteacher when a vacancy arises. Consideration will be given on a case by case basis as to whether the new job is a significant promotion and a decision made on whether to advertise internally.

6.4 Advertisements will be placed for a reasonable period of time to allow for the best possible pool of applicants and to ensure there is sufficient time to notify absent or part-time colleagues of appropriate vacancies.

7. Shortlisting Applications

7.1 The selection panel will use an agreed short-listing matrix and a form to log any gaps in employment and inconsistences identified in applications.

7.2 The criteria for selection will be consistently applied to all applicants, and is based upon the job roles person specification, taking into account the requirements of the job description. The selection panel will collectively agree the candidates to be called for interview, based upon those who score highest within the selection matrix. For SLT positions, including Headteachers, Executive Headteachers, and Trust CEO's and Deputies, HR will be involved to moderate the short-listing matrix.

7.3 A minimum of two people must be on the shortlisting and interview panel, one of which must be Safer Recruitment trained.

7.4 The confidential equality and diversity data section of the application form will be separated from the applications provided to the shortlisting panel to ensure equality of opportunity.

7.5 If the field of applicants during shortlisting is felt to not reach the required standard, the post may be re-advertised to expand the pool of candidates.

8. Interviews

8.1 Invitations to interview will always contain:

- Date, time/s, venue and directions for interview and assessment
- Details of any preparatory work that needs to be undertaken (if required)
- A request for candidates to notify the Trust if they require any reasonable adjustments to be made, to enable them to attend and fully participate in the interview and assessment process
- A request to bring along original qualifications as declared on the application form
- A request to bring along original ID and address verification documents, as detailed on the right to work checklist and photo ID
- A Disclosure of Criminal Record Form, to be completed, sealed in an envelope marked private and confidential and brought to interview

8.2 At interview, photocopies of identity and qualification documents will be taken and the completed Disclosure of Criminal Record form examined. Any disclosures stated on the form will be managed and discussed with the candidate in accordance with the Trust's Statement on the Recruitment of Ex-Offenders. Following interview, the photocopies of documents belonging to the successful candidate/s will be retained; all other copies will be immediately and securely destroyed.

8.3 The format, style and duration of the interviews are matters for the Headteacher/Principal to decide in consultation with any governors or Trustees involved in the process, or the CEO to decide in consultation with HR advice when recruiting Central SLT and

Headteacher/Principal positions, but the following will be adhered to:

8.3.1 Briefing:

All candidates will be given relevant information about the school to enable the candidate to make further enquiries about the suitability of the advertised job.

8.3.2 The formal interview**:**

The questions asked will be pre-agreed, aimed at obtaining evidence of how each candidate meets the requirement of the job description and the person specification, and each candidate will be assessed against all of the criteria for the post. The same areas of questioning will be covered for each applicant and no questions which would discriminate directly or indirectly on protected characteristics under the Equality Act 2010 will be asked.

The selection process for every post will include exploration of the candidate's understanding of child safeguarding issues and aims to assess their suitability to work with children and young people. The interview will also include a discussion of any convictions, cautions or pending prosecutions, other than those protected, that the candidate has declared and are relevant to the prospective employment.

Within the process, the interview panel should also seek explanations in respect of any gaps or inconsistencies identified during the shortlisting process.

All candidates will be interviewed by the same interview panel, and they will also all be given the opportunity to ask questions of the interview panel.

8.3.3 Other assessment techniques**:**

The interview panel will also agree on any other assessment methods they consider appropriate to further assess suitability for the role, e.g. presentations, written exercises or practical tasks. More than one method of assessment may be used when assessing a candidate's suitability for the role.

Involving pupils in the recruitment and selection process in some way, or observing shortlisted candidates' interaction with pupils, is recognised as good practice in schools. Candidates for teaching posts may, for example, be asked to teach a lesson; and candidates for headteacher posts may, for example, meet with school council members or lead collective worship. Where the Trust includes this in a recruitment process care will be taken to ensure judgements are as objective as possible, by ensuring evidence from these processes is gathered by an appropriately qualified individual against pre-set criteria.

8.4 Application forms, interview notes and assessment outcomes for candidates who are not appointed will be retained on file for a period of six months from the date of the interview, and then securely destroyed. Under the

Data Protection Act 2018, applicants have the right to request access to notes written about them during the recruitment process.

9. References

9.1 Where possible and when timescales allow, references for all shortlisted candidates, including internal ones, will be sought prior to interview, so that any issues of concern they raise can be taken up with the candidate at interview. Where it is not possible to request and/or receive references prior to interview, satisfactory references must be received prior to appointment.

9.2 The selection panel will take up at least two references on each short-listed candidate. If a candidate for a post working with children is not currently employed, a reference will be sought from the most recent employment working with children to confirm details of their employment and their reasons for leaving.

9.3 Reference requests will ask the referee to confirm:

- The referee's relationship with the candidate.
- Details of the applicant's current post and salary.
- An assessment of the applicant's experience.
- Performance history and conduct.
- All formal time-limited capability warnings which have not passed the expiration date.
- All formal time-limited disciplinary warnings where not relating to safeguarding concerns which have not passed the expiration date.
- All disciplinary action where the penalty is "time expired" and relate to safeguarding concerns.
- Details of any substantiated allegations or concerns relating to the safety and wellbeing of children.
- Details of any substantiated allegations or concerns relating to the safety and welfare of children.
- Whether the referee has any reservations as to the candidate's suitability to work with children. If so, the school will ask for specific details of the concerns and the reasons why the referee believes the candidate may be unsuitable to work with children

9.4 Referees are required to sign a declaration to confirm that they understand that:

- They have a responsibility to ensure that the reference is accurate, that it does not contain any misstatement and that nothing significant is omitted.
- The content of the reference may be discussed with the applicant.
- The applicant may request and be granted access to the reference.

9.5 Where references are received electronically, Academy's must ensure they originate from a legitimate source by contacting the referee upon receipt of the completed proforma.

9.6 Handling of References:

- References are the "property" of the selection panel and strict confidentiality will be observed.
- Employer testimonials or 'bearer references' i.e. those provided by the candidate and/or marked 'to whom it may concern' will not be accepted.
- References must be in writing and be specific to the job for which the candidate has applied.
- The selection panel will not accept references from relatives or people writing solely in the capacity as a friend of the candidate for any post. References will be checked against information on the application; any discrepancy/issue of concern noted to take up with applicant at interview.

9.7 Where MAT leaders / line managers are asked to provide references, guidance should be obtained from the Trust's Reference Policy (providing and requesting).

10. Conditional Offers of Employment and Pre-Employment Checks

10.1 All offers of employment to successful candidates are conditional and subject to the relevant pre-employment checks for the role. The conditional offer letter will include confirmation of the salary, start date and any forms required for completion before the commencement of employment.

10.2 The conditional offer of employment by the selection panel and acceptance by the candidate is binding on both parties subject to:

- Verification of identity using photo ID and proof of address
- Verification of right to work in the UK

    - This is ascertained through the completion of an online right to work check via the Gov.UK Share Code checking service. Academies will verify this against the applicant's original documentation to verify identity, and retain a copy of the check and record the date it was made.

- The receipt of at least two references which are satisfactory to the Trust, one of which must be from the candidates most recent employer

    - The Trust reserves the right to request further or alternative references from applicants in order to verify their suitability for employment.

- Barred List and Enhanced DBS Clearance

    - Once received by the applicant, the original DBS certificate must be shown to one of the designated persons at the relevant Academy, and the relevant details taken within the Appendix provided to record the document being seen.

- In the event that a DBS certificate contains information, this will be managed in accordance with by the following procedure: the Headteacher, the Head of HR and the Head of Safeguarding will meet to discuss the information and a risk assessment completed to determine the candidates suitability for the position.
- The Trusts Statement on the Recruitment of Ex-Offenders and Policy on the secure handling of information provided by the DBS, and a positive DBS risk assessment carried out using the Trust's pro forma.
- Advice should be sought from the HR Department and Head of Safeguarding on receipt of a positive disclosure.

- Pre-employment Health Clearance

  - This is ascertained via the completion of a confidential pre-employment health questionnaire, and where required a medical examination carried out by the Trust's Occupational Health provider.

- Verification of relevant qualifications, including Qualified Teacher Status and completion of statutory induction where required for teaching posts.

- Overseas checks (where required)

  - As a minimum, overseas checks will be undertaken in respect of any person that has lived or worked in a country outside of the UK for a period of 3 months or more during the last ten years, and additional checks required at the Trust's discretion.
  - Where an overseas check is unfeasible or has been completed but is found to be unobtainable, a risk assessment must be discussed, completed and signed in agreement with the Headteacher, Head of Safeguarding and HR Director.
  - Where concerns are raised following the completion of an overseas check, they are to be discussed with the Head of Safeguarding and HR Director.

- An online search

  - In accordance with the statutory guidance Keeping Children Safe in Education, the Trust will complete online searches as part of our due diligence on all appointed candidates.
  - If anything is identified as part of these checks, they will be discussed with the applicant. If any safeguarding concerns are identified the Trust reserves the right to withdraw the application from consideration.

Where required for the role:

- A disqualification check
- A prohibition from teaching check
- A Section 128 check

For non-teaching roles

- Successful completion of a probationary period.

10.3 The successful candidate will be informed, within the conditional offer of employment, that the appointment is subject to satisfactory completion of these checks. Any failure to meet the conditions specified, or where a positive disclosure, online check or overseas check is found, this will result in an offer of employment being withdrawn.

10.4 If any candidate is found to be prohibited or disqualified from working with children and young people, to have provided false information or where serious concerns arise, the Trust will comply with its obligations to report these matters to the Police and DBS as required, and the offer of employment will be withdrawn.

10.5 In wholly exceptional circumstances as determined by the Headteacher, a prospective employee or worker may be allowed to commence work prior to satisfactory Criminal Record Disclosure having been received and/or where relevant overseas checks have been obtained. Exceptions will never be made in the case of the Barred List and Teacher Prohibition checks. DBS and overseas risk assessments may only be completed following discussion and agreement with the HR Department and Head of Safeguarding.

10.6 No prospective employee or worker will be allowed to commence work before **ALL** other preemployment checks have been completed, and a risk assessment must be undertaken and signed by the Headteacher, Head of Safeguarding and HR.

10.7 Individuals can join the DBS Update Service at the point an application for a new DBS check is made, enabling future status checks to be carried out to confirm that no new information has been added to the certificate since its issue. This allows for portability of a certificate across employers. Where the prospective employee has confirmed they are on the DBS Update Service, before using the Update Service, the Trust will:

- obtain consent from the applicant to do so;
- confirm the certificate matches the individual's identity; and examine the original certificate to ensure that it is for the appropriate workforce and level of check, e.g., enhanced certificate/enhanced including barred list information.

10.8 If an individual is offered a temporary contract, there will be a one week's service break between commencing the new role for all individuals with two years continuous service and more.

10.9 The new employee will receive a contract of employment for signature following the relevant checks successfully being completed, or where required, a written statement of particulars, on or before their first day.

10.10 Unsuccessful candidates will be notified of the result as soon as possible. However, it may be appropriate to delay this for certain appointments, until the successful candidate has confirmed written acceptance of the post, in the case where the second choice would be appointed should the first decline.

10.11 Unsuccessful candidates will be offered optional feedback, which should be constructive: focusing on strengths and areas of development in relation to the selection criteria for the post. All panel members will discuss and agree the feedback to be given, and a nominated panel member will be appointed to share this.

11. Personnel file and Single Central Record

11.1 Information regarding pre-employment checks will be recorded on the relevant Academy's Single
Central Record, and copies of documents retained on the individual's personnel file in accordance with the requirements of Keeping Children Safe in Education, and as stated in the Trust's Policy on the secure handling of information provided by the DBS and Data Protection Policy.

11.2 Recruitment and selection information for the successful candidate will be retained securely and confidentially for the duration of their employment with the Trust including:

- Application form – signed by the applicant
- Interview notes, including explanation of any gaps in the employment history
- References (minimum of 2)
- Proof of identity
- Proof of right to work in the UK
- Proof of relevant academic qualifications
- Evidence of Enhanced DBS clearance and Barred List
- Evidence of Pre-employment Health Clearance
- Evidence of a clear online check
- Evidence of overseas checks (where applicable)
- Evidence of a disqualification check (where applicable)
- Evidence of Teacher Prohibition checks (where applicable)
- Evidence of a Section 128 direction (where applicable)
- Where required, completed and signed risk assessments to support the above checks
- Conditional Offer of employment letter and signed contract of employment

11.3 Retention of personal information for the successful candidate following the end of their employment will be in accordance with the Trust's data retention policy, which is compliant with relevant Data Protection Act. When retained documents have reached their data retention limit they will be securely destroyed.

11.4 The Trust will normally collect personal information from candidates only where we have their consent to do so, where we need the personal information to perform a contract with/involving the candidate, or where the processing is in our legitimate interests and not overridden by your data protection interests or fundamental rights and freedoms. In some cases, we may also have a legal obligation to collect personal information from them or may otherwise need the personal information to protect their vital interests or those of another person. The academy will retain a record of consent as evidence that we have obtained consent to collect and process the data and that applicants have been advised of the purpose of the collection and processing.

11.5 The candidate has the right to withdraw their consent at any time and can do so by informing the Trust's Data Protection Officer, with the exception of documents that are required for a statutory requirement.

12. Induction and Probation

12.1 On-going vigilance and training is critical to establishing a strong and robust safeguarding culture. Reference to the Trust Staff Induction Policy should be made to ensure all teaching and non-teaching staff appointed to the Trust, regardless of previous experience, receive the same level of training and information, including online and face to face child protection training and assessment.

12.2 The purpose of induction is to:

- Provide training and information about the Trust's / Academy's policies and procedures, including those in relation to the safeguarding of children and young people
- Establish clear expectations regarding the standards of conduct, behaviour and performance required
- Ensure staff know when and how to raise any safeguarding concerns
- Facilitate the identification of any concerns regarding conduct, behaviour or performance, and enable support to be provided to achieve the standards required
- Provide opportunities for staff to discuss any issues or concerns they may have regarding their role or responsibilities
- Provide an introduction to the Christian ethos and values of the Trust and its academies

Appendix 1: Shortlisting log of gaps and inconsistencies

Strictly Private and Confidential

Shortlisting log of gaps or inconsistencies

The Diocese of Norwich Education and Academies Trust is committed to safeguarding and promoting the welfare of Children and Young People and requires all staff and volunteers to share this commitment.

As part of our safeguarding due diligence, this log is to be used when shortlisting to note any gaps or inconsistencies that are identified in applications, so that they can be followed up at interview- or prior to this if required. It is to be completed for shortlisted applications only. One copy of the form can be completed on behalf of the panel, but all panel members are responsible for thoroughly reviewing the applications and agreeing the content of this form, which will be referenced during the interview process.

Post	
Shortlisting panel	
Date	

Candidate name	Notes

Completed by name:	

Signed:	
Date:	

Appendix 2: Self-Disclosure Form

Self-Disclosure Form

The Diocese of Norwich Education and Academies Trust is committed to safeguarding and promoting the welfare of children and young people and requires all staff and volunteers to share this commitment.

Please read the information below before completing the form. The completed form must be brought to your interview for the post of [Job title] on [Date] and given to [Name] sealed in an envelope marked Private and Confidential for the attention of [Name]

Criminal Record (All posts)

It is the policy of the Trust to require all shortlisted applicants for employment to disclose any previous 'unspent' criminal convictions and any cautions which have not expired, or any pending prosecutions.

In addition, the job you are applying for is exempt from the provisions of the Rehabilitation of Offenders Act 1974 (exceptions order 1975) which requires you to disclose all spent convictions and cautions, except those which are 'protected' under Police Act 1997 Part V and the amendments to the Exceptions Order 1975 (2013 and 2020), which are not subject to disclosure to employers on DBS certificates and cannot be taken into account.

Guidance on the filtering of "protected" cautions and convictions which do not need to be disclosed by a job applicant can be found on the Disclosure and Barring Service website.

The information you give will be treated as strictly confidential. Disclosure of a conviction, caution, warning or reprimand will not automatically disqualify you from consideration. Any offence will only be taken into consideration if it is one which would make you unsuitable for the type of work you are applying for.

However, offences relating to children are likely to make you unsuitable since this is a "regulated position" under the Criminal Justice & Courts Services Act 2000. The Trust's policy on the recruitment of ex-offenders is available on request.

If you fail to disclose any relevant offences or give false information then it will disqualify any offer of employment, or result in summary dismissal if you are in post, with possible referral to the Police. Confirmation of appointment is subject to a satisfactory Enhanced DBS Certificate.

Do you have any unspent conditional cautions or convictions?	Yes / No
Do you have any spent adult cautions (simple or conditional) or convictions that are not 'protected' as defined by either: • the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 as amended in England, Scotland and Wales • or the Rehabilitation of Offenders (Northern Ireland) Order 1978 as amended in Northern Ireland?	Yes / No
If yes, please provide further information:	

Have you been formally charged with any other offence in any overseas country which has not yet been disposed of?	Yes / No
If yes, please provide further information:	

Current criminal investigations or pending prosecutions (All posts)

Are you currently subject to any criminal investigations or pending prosecutions by the police in any country which may have a bearing on your suitability for this post?	Yes / No
If yes, please provide further information:	

Conduct (All posts)

Have you ever been known to any children's services department or to the police as being a risk or potential risk to children?	Yes / No
If yes, please provide further information:	
Have you been the subject of any disciplinary investigation and/or sanction by any organisation due to concerns about your behaviour towards children?	Yes / No
If yes, please provide further information:	
Have you ever been the subject of disciplinary sanctions or been asked to leave employment or voluntary activity due to inappropriate behaviour towards children?	Yes / No
If yes, please provide further information:	

Prohibition from teaching (teaching, teaching assistant, HLTA, learning mentor or other relevant post)

I confirm that I am / am not (delete as appropriate) subject to a Prohibition Order or Interim Prohibition Order in line with the School Staffing (England) (Amendment) Regulations 2013.

Section 128 (Leadership, management and TLR post holders only)

I confirm that I am / am not (delete as appropriate) subject to a Section 128 direction in accordance with The Independent Educational Provision in England (Prohibition on Participation in Management) Regulations 2014.

Declaration (please tick boxes below)	
☐	I certify that I have read and understood this form and that to the best of my knowledge the information I have given is true and complete, and I agree that the information provided here may be processed in connection with recruitment purposes.
☐	I understand and accept that if I have failed to disclose or have given false information, then it will disqualify any offer of employment, or result in summary dismissal if I am in post, with possible referral to the Police.
☐	I agree to inform the organisation within 24 hours if I am subsequently investigated by any agency or organisation in relation to concerns about my behaviour towards children or young people.
☐	I understand that the information contained on this form, the results of the required enhanced DBS check and information supplied by third parties may be supplied by the organisation to other persons or organisations in circumstances where this is considered necessary to safeguard children.
Signature of candidate:	
Print name:	
Date:	

If you are appointed this form will be retained on your personal file for the duration of employment. If you are not appointed it will be securely destroyed.

All information you provide will be treated as confidential and managed in accordance with relevant data protection legislation and guidance. You have a right of access to information held on you under the General Data Protection Regulations 2018.

Appendix 3: Declaration of Address and Name History

Disclosure and Barring Service Check:
Declaration of Address and Name History

The Diocese of Norwich Education and Academies Trust is committed to safeguarding and promoting the welfare of children and young people and require all staff and volunteers to share this commitment.

In addition to the identity documents that the Trust has requested you provide in order to carry out a Disclosure and Barring Service (DBS) check, the Trust is also required to obtain the following information from you:

- Your five-year address history;
- A declaration as to whether you have spent a period of three months or more in a country outside of the UK in the past ten years, OR have ever lived outside the UK as an adult, with details where applicable;
- A declaration of all previous name changes, with documentary proof to support any change of name.

Please complete the fields and declaration below, and hand this document along with your identity documents to the colleague who will carry out the DBS check on behalf of the Trust.
Please also provide evidence of your address history and where you have undergone a change in name, documentary proof to support the change.
If you have any questions in respect of your completion of this form or the evidence that you will need to provide, please contact the HR Team.

1. Five-year address history

Full address including postcode	I lived at this address from **Date: dd/mm/yyyy**	I lived at this address to **Date: dd/mm/yyyy**

Please continue on a separate sheet if necessary.

2. Time spent outside of the UK in the past ten years OR if you have ever lived abroad in your adult life

If you have not spent a period of three months or more in a country outside of the UK, please enter N/A in the table below. If you have, please provide the details requested.

Name of country, and address where stayed if applicable	I was in this country from **Date: dd/mm/yyyy**	I left this country on **Date: dd/mm/yyyy**

Please continue on a separate sheet if necessary.

3. All previous name changes.

Full name	I was known by this name from **Date: dd/mm/yyyy**	I ceased to use this name on (where still in use please state) **Date: dd/mm/yyyy**	The documentary proof I have to evidence the change is: e.g marriage certificate

Declaration

I certify that to the best of my knowledge the information I have given on this form is true and complete. I understand and accept that if I have failed to disclose or given false information then it will disqualify any offer of employment, or result in summary dismissal if I am in post. I also understand that the information I have provided may be subject to checking, and that overseas checks will be undertaken in respect of any relevant period spent outside the UK.

Signature:	
Date:	
Print Name:	

Appendix 4: Confirmation that original DBS certificate has been seen

Private and Confidential

Disclosure and Barring Service Check:

Confirmation that original DBS certificate has been seen

The original copy of the DBS certificate must be seen and this declaration completed.

Name of applicant	
Role title	
Start Date	
Certificate seen by (Name and job title)	
Date certificate seen	
Certificate number	
Date of issue	
All names declared on certificate	
Date of birth on certificate	
Address on certificate	
Was a children's barred list check included? (if not confirm reason not in regulated activity)	
Does a positive DBS record of recruitment decision risk assessment need to be completed?	
Has the Single Central Register been updated?	

I confirm that I have seen the original copy of the DBS certificate for the above named, I have returned the certificate to them and completed the information above.

Signed	

Print Name	
Date	

Appendix 5: DBS Risk Assessment

This form can be used to assist in assessing and recording the risks of allowing someone to start work or volunteer in the setting prior to a DBS (Disclosure and Barring Service) check being received or where a DBS certificate shows relevant convictions or other relevant information.

The assessment of risk must be undertaken in accordance with the Policy on Employment of Ex-Offenders and Disclosure and Barring Service checks.

The completion of this risk assessment form is the responsibility of the hiring manager or human resources as appropriate. It must be authorised by the Headteacher, HR Director and Head of Safeguarding before the person can start or continue working with children or vulnerable adults or their records. This completed risk assessment form must be placed on the individual's personnel file or other appropriate file and made available for Safeguarding and Ofsted inspections.

Only in very exceptional circumstances staff (but not volunteers) who work with children, or their records may work without an enhanced DBS certificate if they are closely supervised i.e. within sight and sound of someone with a clear DBS check However, this will normally only be permissible when not to allow them to work would disrupt the care of children, e.g. where there is a regulatory requirement to have a ratio of staff to number of children. People may therefore only work in these circumstances when the following applies:

- The appointment is necessary to allow the service provision to continue.
- The person has an enhanced DBS certificate issued by another education body that they have been employed by within the past 3 months and the person provides the original enhanced DBS certificate to the appointing manager as evidence.
- An enhanced, DBS check has been applied for by the setting.
- The person has no unsupervised contact with children.
- They have no access to sensitive records, particularly information about individual children.
- This risk assessment has been completed and signed off by the relevant people.

Due to the high risks involved in appointees working in one-to-one situations or similar environments, they must not start work until the fresh DBS certificate has been received.

Please note that candidates may be able to carry out induction, training and supervised tasks whilst waiting for the DBS certificate to be returned.

DBS Risk Assessment Checklist

PERSONAL DETAILS -

Name of Person:	
Role:	
Interview Date:	
Proposed Start Date:	
DBS Check Application Date:	
Is the person in 'Regulated' activity?	YES / NO

REASON FOR STARTING WITHOUT SEEING A NEW DBS CHECK

Continuity of the settings provision to children	
Other (please state)	

KNOWN INFORMATION - * COMPULSORY FIELD

Have **all** the following checks been satisfactorily completed? (Please date checks)	
Identity Check	
Verification of current address	
Right to work in the UK	
Two references	
Barred List Check	
Pre Employment Health Check	
Confirmation of qualifications	
Overseas Check	

Online Check	
Section 128/Prohibition Check (if applicable)	
Childcare Disqualification (if applicable)	
Please confirm whether any concerns have been raised in the above pre employment checks?	

PREVIOUS DBS CERTIFICATES

If the person's proposed start date and their last day at their previous setting or college are less than three months apart, then a new Enhanced DBS check is not required in law, although most settings will instigate a new one. Therefore, given that there is sufficient other information, the person could be assessed to be of low risk.

If the person has a previous DBS, on what date was it issued?	
When was the person's last day at work in their previous setting?	

DECISION – based on evaluating the above information collated

High Risk – Person should not be allowed to start without a new Enhanced DBS, as there has been a break in service of more than three months (or they do not have an Enhanced DBS certificate) and/or there is insufficient information about the person in the 'Known Information' list above.	
Medium Risk – Person may start work and although there is sufficient other information listed above, because there is a gap in service of three months or more (or they do not have an Enhanced DBS certificate), the person must be supervised* at all times and should not undertake 1:1 work, personal care activities or residential visits. (* The unchecked person must always be 'within sight and hearing' of a person with an Enhanced DBS check).	
Low Risk – Person may start work, without additional supervision, as they already hold an Enhanced DBS check and there is no break in service of three months or more and all other checks have been satisfactorily completed.	

AUTHORISATION

Headteacher		Date	
HR Director		Date	
Head of Safeguarding		Date	

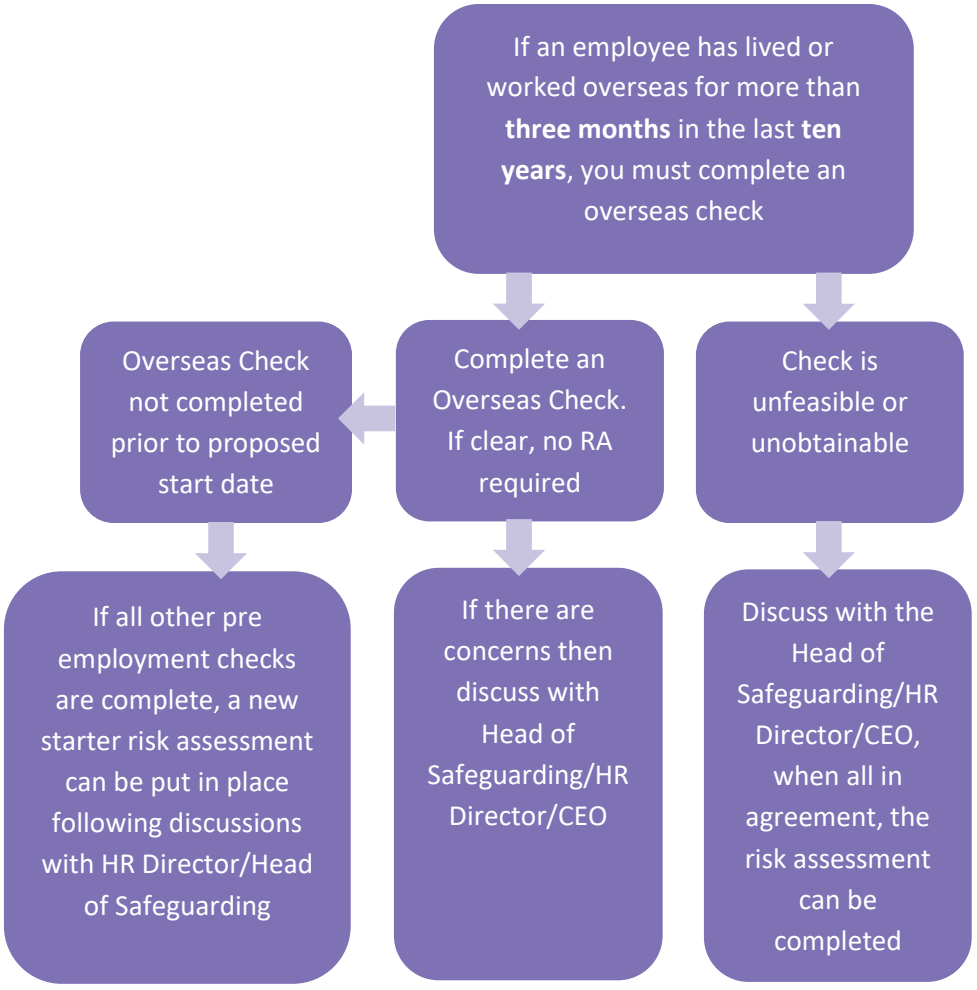
Appendix 5: Overseas Risk Assessment

Overseas Guidance

(for new starters)

This flow chart and risk assessment is to be completed when it has been identified that an overseas check is required for a new starter.

Please note that if there are any concerns that cannot be mitigated against through the risk assessment then you must discuss with HR/ Head of Safeguarding to decide upon next steps.



Overseas Risk Assessment

(for new starters)

PERSONAL DETAILS -

Name of Person:	
Academy:	
Role:	
Proposed Start Date:	
Overseas Check Action Date:	

OVERSEAS DETAILS

Has the employee worked or lived overseas for more than **3 months** in the **past 10 years?**	Yes / No
Which dates to and from has the employee lived/worked overseas?	
Which country or countries has the employee lived/worked in?	
Please provide a record of communication, including dates, regarding the overseas check applied for	

FILE CHECK & CONCERNS

Have **all** the following checks been satisfactorily completed?	
Date of Enhanced DBS with children's barred list seen	
Date of Right to Work seen	
Are there two satisfactory references on file?	

Is there medical clearance?	
Date of prohibition check (if applicable)	
Date of S128 check (if applicable)	
Date of childcare disqualification (if applicable)	
Please review staff file noting any concerns or anomalies	

AUTHORISATION

I confirm that it has been discussed between myself, the Head of Safeguarding/ HR Director/ CEO that the overseas check for this employee is in progress and it has been agreed that this employee can start work whilst this is being carried out. This risk assessment will cease when the overseas check is completed and received by the Academy.

The staff file has been checked for any anomalies or concerns.

Headteacher		Date	
HR Director		Date	
Head of Safeguarding		Date	
CEO		Date	

Appendix 6: Referee Verification Proforma

Strictly Private and Confidential

Referee Verification

The Diocese of Norwich Education and Academies Trust is committed to safeguarding and promoting the welfare of children and young people and requires all staff and volunteers to share this commitment. As part of the Trusts safer recruitment processes and keeping in line with Keeping Children Safe in Education (KCSIE), we are required to ensure that electronic references originate from a legitimate source.

Via telephone call, please ask the referee to confirm the details listed below, and ensure this matches up according to the reference proforma received for the appointed candidate:

Name of Referee	
Job Title and relation to the applicant	
In what capacity is/was the applicant employed?	
Dates of Employment	
Establish the reason for the candidate leaving their current/previous post	

Optional: Clarify any content where the reference information is vague or insufficient information has been provided.

To be completed by the hiring manager

Date reference was received via email	
Date and time referee was verified via telephone call	
Name of person conducting the verification	

If concerns have been identified, please detail these below:

I confirm that I have completed the above referee verification as detailed and that: (please tick)

☐	There are no concerns that need to be discussed with the appointed candidate
☐	I have identified relevant concerns which will need to be discussed with the candidate, I have documented these above and have shared this information with the Headteacher / HR

Signature	