

Inspire Partnership Multi Academy Trust



Disclosure and Barring Service (DBS) and Vetting Policy

Policy Review Date – January 2018

Date of Next Review – Aug 2020

Personnel Responsible – Chief Operating Officer

1.0 INTRODUCTION

- 1.1 This policy and procedure document applies to all employees of the Inspire Partnership Multi Academy Trust (IPMAT) as well as volunteers and governors.
- 1.2 The principles of the policy will also be applied to agency staff, self employed individuals engaged by IPMAT and it's academies/schools, individuals employed by any contractors/sub-contractors (where the contract agreement specifies the requirement for a DBS check) and appropriate staff in organisations that are providing long term work placements for children and young people. In such cases organisations are required to either adopt this policy or produce their own policy complying with the general principles of this policy.
- 1.3 The policy has been drawn up following consultation with the recognised trade unions and teachers' professional associations and is recommended to all school Governing Bodies for adoption.

2. The Legislation

- 2.1 The duties imposed by s175 of the Education Act 2002 make explicit the responsibility of local authorities, governing bodies and proprietors for safeguarding and promoting the welfare of children as part of fulfilling their common law duty of care towards the children for whom their organisation or establishment is responsible.
- 2.2 The requirement, under the School Staffing Regulations 2009 that:
 - Each academy/school within the trust and IPMAT must keep a single central record detailing a range of checks carried out on their staff;
 - All new appointments who have lived outside the United Kingdom are subject to such additional checks as are deemed appropriate where the required DBS check is not considered sufficient to establish suitability to work with children and young people;
 - Each academy/school within the trust and IPMAT must satisfy themselves that supply staff have undergone the necessary checks to assess their suitability for the post; and identity checks must be carried out on all appointments to the workforce before the appointment is made.
- 2.3 In addition to the Trust/Academy/School staff, this document outlines the single central record requirements for different types of visitors (non-school staff) to schools.

3. The Role of the School's Governing Bodies

The IPMAT Board is accountable for ensuring their establishment has effective policies and procedures in place in accordance with this guidance, and monitoring the Academies/School's compliance with them.

4. Principals/Headteachers

The Principal/Headteacher of each academy/school ensure the policies and procedures adopted by the Governing Body are fully implemented, and followed by all staff; sufficient resources and time are allocated to enable the designated person and other staff to discharge their responsibilities. OFSTED will expect to see all policies relating to Safeguarding Children in a single file.

5. Extended Schools and Before and After School Activities

Where the Trust or its academies/schools provides services or activities directly (under the supervision or management of Trust/Academy/School staff), the Trust/Academy/School's arrangements for safeguarding and child protection will apply.

Where services or activities are provided separately by another body, the Trust/Academy/School should seek assurance that the body concerned has appropriate policies and procedures in place in regard to safeguarding children and child protection, and there are arrangements to liaise with the Trust/Academy/School on these matters where appropriate.

6. Policy Statement

6.1 IPMAT is committed to fulfilling its duty to protect children and young people by ensuring the highest integrity of those appointed to positions in the Trust/Academy/School as well as ensuring that appropriate checks are made in respect of agency staff, self employed individuals, employees of contractors/sub-contractors, volunteers and those who come into contact with children and young people within the Trust/Academy/School or on long term work placements.

6.2 IPMAT is also committed to the elimination of discrimination and to equal treatment in employment. This applies to prospective employment and all stages of employment and includes providing equal opportunities to both potential and existing employees, including ex-offenders, subject to the overriding duty to protect children and young people. The policy and procedure has been developed to comply with legislation relevant to DBS checking.

6.3 IPMAT recognises that criminal record checking forms part of installing a safer recruitment/ongoing safer culture and is committed to ensuring that the other appropriate policies/procedures (listed below) are in place to complement this policy.

- Recruitment and Selection Policy
- Code of Conduct
- Dealing with allegations against staff
- Whistleblowing Policy
- Child protection and Safeguarding

- ICT Acceptable Use / E-Safety
- Policy on the Employment of Ex-Offenders
- Equality and Diversity Policy

7. Disclosure and Barring Service

- 7.1 The Disclosure and Barring Service (DBS) acts as a 'one-stop-shop' for organisations, checking police records and the Barred List (formally known as List 99). Inspire Partnership MAT is a Registered Body with the DBS and processes checks for schools and academies.
- 7.2 Counter signatories in each Academy/School are responsible to a lead signatory for ensuring the proper application of the DBS procedures through a Code of Practice. This includes the requirement for establishing standards and policies concerning applicants for employment, the recruitment of ex-offenders, and relations with persons and agencies for whom a Registered Body may access disclosure checks on an umbrella basis.
- 7.3 The Trust/Academy/School is responsible for ensuring that the appropriate DBS checks are undertaken in a timely way in accordance with this policy and ensuring each Academy/School records the outcome of the check on the Single Central Record. The Academy/School will undertake the necessary identity checks and check the relevant documents and submit the identity checking form and DBS application form to Fusion HR in a timely way.
- 7.4 DBS checks are available in cases where an employer is entitled to ask exempted questions under the Exceptions Order to the Rehabilitation of Offenders Act (ROA) 1974. This includes any organisation whose staff or volunteers work with children. In the Academy/School context where checks are undertaken checks will either be Enhanced Checks or Enhanced Checks with a barred list check.

7.4.1 Enhanced check with a Barred list check

This check is available to anyone employed in regulated activity i.e. regularly caring for, training, supervising or being in sole charge of children. It is important to request the check to be made for working with children as this may make a difference to the information that is disclosed. Such a check will show the criminal record of an individual including those convictions that are 'spent', any additional information from the police and a check against the Children's Barred List.

7.4.2 Enhanced check

Whereas all employees in the Trust/Academy/School who are in regulated activity are entitled to an enhanced check with a Check of the Barred List, volunteers including Governors may not be as it will depend on their frequency of access to children and whether or not they are supervised. Where volunteers do not meet the requirements that would entitle them to an enhanced check with a check of the Barred List either because they do not

have contact weekly, 4 times in a 30 day period or overnight, or where they undertake personal care or where they are supervised then they would only be entitled to an enhanced check without a check of the barred list.

7.4.3 *Disclosure Certificates*

A copy of the disclosure will be sent out to the applicant only.

8. Disclosure Portability

8.1 Portability between organisations

The DBS does not allow organisations to share disclosures with each other (except in relation to Supply Staffing Agencies). On this basis, DBS disclosures cannot be portable from one organisation to another.

8.2 Moving jobs within the Trust/Academy/School

Where an employee already employed within the Trust/Academy/School is being considered for another position within the establishment, a new check is not required unless there is a change in the level of contact with children and/or a change in personal details.

9. Posts Subject to Criminal Record Checks

9.1 The Protection of Freedoms Act 2012 set out a number of changes that affect employers and the checks they are able to carry out on potential employees and volunteers. Two of the main changes that impact on academies / school are a change in the definition and scope of Regulated Activities (RA) which will impact on governors and volunteers and the fact that it is no longer possible to carry out a DBS check on a young person aged less than 16 years at the time of application.

9.1 Trust/Academy/School staff

The School Staffing (England) (Amendment) Regulations 2006 make it mandatory for a DBS enhanced with a barred list check to be obtained for all newly appointed Trust/Academy/School staff. This includes workers who do not work directly with children such as caretakers, administrative and other ancillary staff. The definition of newly appointed is anyone who has not worked in an Academy/School in England for 3 months or more. There is no requirement for existing staff who were recruited prior to the establishment of the DBS (previously the Criminal Records Bureau) in March 2002 and who have continuity of service (ie no break longer than 3 months) to be DBS checked. The only requirement for these staff is to have been checked against the Children's Barred List (List 99) which was done as part of the Police check at the time.

It is a requirement that any employee working in a boarding house within an Academy/School must have an enhanced DBS with barred list check before being permitted to start work.

9.2 Designated Safeguarding Lead (DSL)

Any individual, including an existing member of staff, taking up this post will be subject to an enhanced DBS check. The only exception to this is in the case of existing employees within the Academy/School who have been subject to a DBS check in the previous 3 months.

9.3 Governors

All governors/Trustees/proprietors are required to have an enhanced check (with a check of the barred list if in regulated activity). In addition, all governors will be required to complete a DBS self-declaration form on an annual basis.

9.4 Volunteers

It is recognised that many parents and other volunteers help regularly in the classroom and with activities associated with the Academy/School. All volunteers who meet the frequency test will require a DBS Disclosure and in addition because of the frequency of their volunteering activity and the contact they have with children a barred list check may also be required.

9.4.2 School Exchange Host Families

UK host families providing accommodation for foreign students in organised exchange visits must have an enhanced DBS check. This is in line with guidance to schools in respect of volunteers involved in activities requiring an overnight stay in the DfE document Safeguarding Children and Safer Recruitment in Education. It is also recommended that schools give host families basic awareness of child protection issues and the contact details of the Designated Senior Person for Child Protection in the school. Where the visit is less than 28 days the DBS check will include all adults living at the address of the lead family member. If the visit is longer it will be treated in the same way as a private fostering arrangement and advice from HR should be sought.

9.4.3 Starting work pending a DBS check or where no check is required

Before allowing an employee or volunteer to commence their duties prior to the DBS check being received, the Principal/Headteacher should complete a risk assessment. Anyone who has not obtained a DBS check should not be left unsupervised with children.

9.5 Extended services & partnership staff

9.5.1 *Staff employed and managed by the Academy/School*

Staff employed and supervised or managed by the Academy/School to undertake any extended services must be subject to the Academy/School arrangements for staff appointments, recruitment, vetting checks and record keeping for all staff. All such appointments will be subject to an enhanced disclosure with barred list check.

9.5.2 *Staff employed by a third party*

Where extended services are provided by a third party, there should be clear lines of accountability and responsibility for carrying out recruitment and vetting checks for staff and volunteers. The supplying organisation must provide confirmation of all checks carried out in relation to safeguarding. All staff are subject to enhanced disclosures. Academies/Schools obtaining their childcare through private or voluntary sectors should use Ofsted approved providers (Ofsted will apply to the DBS for Enhanced Disclosures for such staff).

9.6 Agency supply staff

9.6.1 *Agency checks*

Staff supplied to the Academy/School via an agency will be subject to checks by the agency itself. In all cases the Academy/School will obtain written confirmation from the agency that appropriate checks have been completed. The Academy/School is not required to see evidence that the checks have been completed although it must have sight of a DBS check where relevant information is recorded. If the Academy/School wishes the individual to commence work where information has been added to the disclosure, the Academy/School must undertake a new check for the individual (ensuring that the person does not start work until it is received).

9.6.2 *Identity checking agency staff*

Identity checks must be carried out by the Academy/School to confirm that the individual arriving at the Academy/School is the individual that the agency intends to refer to them.

9.6.3 *Portability of disclosures for agency staff*

A Disclosure may be passed from agency to agency, between LAs and agencies, and between academies and agencies if the subject gives written consent. Regulations under the Police Act also authorise passing Disclosure

information from agencies to academies where the subject's suitability for work at the Academy/School is under consideration. If, exceptionally, the DBS check refers to the existence of information in addition to that on the face of the check, a supply agency cannot pass this information on to an Academy/School. In this instance, the Academy/School should obtain a new check prior to any work commencing.

9.7 The Academy/School employed supply staff

The Academy/School should carry out the same checks as for all other employed staff and details should be kept on the single central record (SCR).

9.8 Contractors and sub-contractors

Contracted staff who come into regular contact with children such as cleaning, caretaking and kitchen staff must be checked by the contractor in the same way as Academy/School employees, including having an enhanced DBS with barred list check and such requirements form part of the contract. The outcome of such checks must be notified to the Academy/School and include on the SCR. The contractor is also responsible for ensuring that the same procedures are followed by any sub-contractors. The contractor must provide the Academy/School with a list of its direct employees and those of any sub-contractors at least 20 days before they start work on site.

9.8.1 *Building contractors*

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. However academies/schools should ensure that arrangements are in place with contractors, via the contract where possible, to make sure that any of the contractors' staff that come into contact with children undergo appropriate checks including an enhanced disclosure. The Trust recommends that the contractor should provide the Academy/School with written confirmation to this effect although the Academy/School is not required to see evidence of such checks).

9.9 Work experience organisers & placement providers

9.9.1 *Work experience students placed in academies*

Work Experience students placed in academies are not required to obtain clearance from the DBS because it is not expected that they will at any time be left unsupervised whilst working with children. Additionally, since the introduction of The Protection of Freedoms Act 2012, it is not possible to obtain an enhanced check or barred list check for anyone under the age of 16.

9.9.4 *Teaching trainees or graduates placed in academies*

Student (placements) or Teaching Graduate Trainees placed in academies/schools should have an Enhanced DBS with barred list check and such a check will not be free of charge because the student is not defined by the DBS as a volunteer. Enhanced DBS with barred list checks are undertaken by the initial teacher training provider so that disclosures are received prior to the trainee commencing Academy/School based training. The Academy/School will ensure that this is in place prior to the trainee commencing at the Academy/School.

9.10 Self employed individuals undertaking work in Academies

9.10.1 *Checks required for the self-employed*

The DBS recommends that self-employed persons should be subject to an enhanced disclosure (paid for by the individual) prior to commencing a role in circumstances where there is likely to be unsupervised access to children (in an Academy/School setting this may include music tutors for example). The normal vetting checks such as identity checking should also be conducted.

Academies/Schools can obtain DBS checks for self-employed people who will be working on the premises as long as the disclosure is intended to be used to consider their suitability for undertaking a particular role. Self-employed individuals are not able to obtain their own personal checks via the DBS.

9.10.2 *Currency of DBS checks for the self-employed*

There is no definitive guidance in terms of the portability of DBS checks for self-employed individuals. Subsequently, the Academy/School leadership will consider where re-checking may be appropriate on a case by case basis – consideration should be given to the duration of the anticipated work and the level of contact with pupils.

9.11 Staff from overseas

9.11.1 *Overseas staff to be checked*

Newly appointed staff and staff recruited since 2002 who have lived outside the United Kingdom must undergo the same checks as for all other staff in academies. This includes an Enhanced DBS with a barred list check.

Note: Tier 2 workers will automatically be required to complete an overseas DBS check as an integral part of their visa application.

9.11.2 *Additional checks to conduct*

Academies/Schools should ensure that they have confirmation of each individual's right to work in the UK and this information should be included on the SCR. This should include passport information for EEA nationals and the date a work permit was received for those who require them. In addition, academies/schools must make such further checks as they consider appropriate due to the person having lived outside the United Kingdom. These further checks must be completed prior to an individual starting work.

DBS checks will not generally show offences committed by individuals whilst living abroad (except in the case of service personnel and their families). Therefore, in addition to an enhanced DBS with barred list check, additional checks such as obtaining certificates of good conduct from relevant embassies or police forces are necessary. The level of information contained in these certificates varies from country to country: some are complete extracts from the criminal record; others are partial. Extra care should, therefore, be taken in ensuring that references are taken up and that other background checks are conducted.

9.11.3 Further guidance on overseas appointments

Further information about the criminal record information which may be obtained from overseas police forces and countries, is available from the DBS at www.homeoffice.gov.uk/agencies-public-bodies/dbs.

9.12 People who are not required to obtain a DBS check

It is not necessary to obtain a DBS check for:-

- ❑ Staff appointed before 2002 who have continuity of service and who have not previously been DBS checked unless moving roles into posts with closer contact with children or where there are concerns about suitability to work with children. The exception to this is workers from overseas.
- ❑ Public sector staff such as psychologists, nurses and dentists (because they will have been checked by their own organisations). However, the school should ensure their employer has carried out appropriate checks in addition to checking the identity of such staff on arrival to ensure impostors do not gain access to children;
- ❑ Visitors who have business with the Principal/Headteacher or other staff who have brief contact with children with a member of staff present;

- ❑ 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;
- ❑ Volunteers or parents who only accompany staff and children on one off outings or trips that do not involve overnight stays, or who only help at specific one off events e.g. a sports day, fête, and will not be unsupervised with children;
- ❑ Secondary pupils on Key Stage 4 work experience in other academies, or nursery classes;
- ❑ Secondary pupils undertaking work in another Academy/School as part of voluntary service, citizenship or vocational studies;
- ❑ Key Stage 5 pupils in connection with a short career or subject placement. In these cases the Academy/School placing the pupil should ensure that s/he is suitable for the placement in question;
- ❑ People who are on site before or after Academy/School hours and when children are not present, e.g. local groups who hire premises for community or leisure activities, contract cleaners who only come in after children have gone home, or before they arrive.

10. Recruitment and Vetting

DBS checking is a key element in the safer recruitment process but is only one aspect of ensuring that an applicant is the right person for the job role which involves being in a position at the Academy/School.

10.1 Elements of the recruitment and selection process

It starts with the process of planning the recruitment exercise and, where the post is advertised, ensuring that the advertisement makes clear the Trust's commitment to safeguarding and promoting the welfare of children. It also requires a consistent and thorough process of obtaining, collating, analysing, and evaluating information from and about applicants. From 1 January 2010 it has been a requirement for at least one member of any interviewing panel to have been trained in Safer Recruitment and certificates will need to be available for inspection. Training can be undertaken within the Academy/School or by accessing on-line training with the Department for Education. Refresher training is strongly recommended every 5 years.

The main elements of the process include:

- Ensuring the job description makes reference to the responsibility for safeguarding and promoting the welfare of children;
- Ensuring that the person specification includes specific reference to suitability to work with children;
- Obtaining and scrutinising comprehensive information from applicants, taking up and satisfactorily resolving any discrepancies or anomalies;
- Obtaining independent professional and character references that answer specific questions to help assess an applicant's suitability to work with children and following up any concerns;
- A face-to-face interview that explores the candidate's suitability to work with children as well as his or her suitability for the post;
- Verifying the successful applicant's identity;
- Verifying that the successful applicant has any academic or vocational qualifications claimed;
- Checking his or her previous employment history and experience (and any gaps);
- Verifying that s/he has the health and physical capacity for the job;
- Verifying that s/he is able to work in the UK;
- The mandatory checking of information held under Section 142 of the Education Act 2002 (previously known as List 99) and an Enhanced Disclosure via the DBS.

10.2 Key principles of recruitment

Applicants will be made aware, at the earliest opportunity, that they will be required to disclose all criminal convictions including those that are spent. This will either be included as part of the advertisement and/or within the candidate recruitment pack.

Details of convictions will be requested on the appropriate application form.

Applicants will also be requested to complete a DBS Declaration Form.

As part of the interview process, the employee identity check form will be completed to note which documents have been provided.

11. Commencing Appointment Pending Disclosure

The Academy/School is able to allow an employee to start employment pending a DBS check as long as other recruitment and vetting checks have been carried out. The Principal/Headteacher should weigh up the risks on a case by case basis and as a minimum ensures that:-

- The individual has completed a DBS Declaration Form;
- A risk assessment is carried out where required;
- The individual is appropriately supervised;

- ❑ All other checks, including checking Information that is held under Section 142 of the Education Act 2002 (the Children’s Barred List) have been completed;
- ❑ The disclosure application is submitted before the individual commences work.

12. Disclosure of Convictions Arise During Employment

Employees are required to declare any cautions, convictions or reprimands (including judgements or investigations pending) as they arise that they receive during the course of their employment. The relevance of such disclosures will be considered as detailed below.

The Academy/School should issue on an annual basis a DBS self-declaration form to all existing employees and volunteers.

11. Considering the Relevance of Convictions

The Academy/School will consider the relevance of any convictions in line with the Trust’s Employment of Ex-Offenders Policy.

12. Retention of Information

12.1 Confidentiality of information

Information disclosed as part of a recruitment process, via self-declaration during the course of employment or as part of a DBS checking process will be treated as highly confidential. It is an offence for information in a disclosure to be passed to anyone who does not need it in the course of their duties.

12.2 Compliance with DBS standards

Disclosure information will be managed in accordance with DBS guidance on the security and retention of disclosures and disclosure information (see www.homeoffice.gov.uk/agencies-public-bodies/dbs). The key provisions are:-

- ❑ Disclosures will not be retained for periods longer than necessary (normally a maximum of 6 months from the date of the disclosure);
- ❑ Disclosures will be destroyed by secure means at the end of any retention period;
- ❑ The Trust/Academy/School will keep where applicable, the letter/email from the DBS Umbrella organisation confirming clearance of the individual;
- ❑ DBS disclosures must not be photocopied under any circumstances.

12.3 Records to be retained

Before a Disclosure is destroyed, records need to be kept by the Trust/Academy/School detailing on the SCR:-

- The date the Disclosure was obtained;
- The date the barred list check was obtained
- Who obtained it (i.e. Trust/Academy/School, local authority, supply agency);
- The unique reference number on the disclosure certificate.

The Trust/Academy/School will also keep:-

- A note of what other information was used to assess suitability;
- The letter(s) sent to the individual and Trust/Academy/School confirming clearance;
- A copy of any completed risk assessment where there has been a positive disclosure.

In addition, where a disclosure reveals information about an individual the record of positive check will be completed and retained on the personal file of that individual. This record will not detail information about actual offences disclosed. These measures accord with the requirements of both the DBS and the Trust/Academy/School's SCR.

13. Record Keeping of Recruitment and Vetting Checks

13.1 Single central record

The DfE requires all academies/schools to be able to demonstrate that they have robust and accurate records of all recruitment and vetting checks carried out. This information must be compiled into a SCR of completed checks in each Academy/School. The SCR is often the first document an Ofsted Inspector will ask to see and failure to produce an SCR evidencing that all the appropriate checks have been made will have an immediate and serious impact on the outcome of the inspection

13.2 People to be included on the central record

- All staff who are employed to work at the Trust/Academy/School;
- All staff who are employed as supply staff to the Academy/School, whether employed directly by the Academy/School or through an agency;
- All others who have been chosen by the Academy/School to work in regular contact with children (volunteers and governors who also work as volunteers);

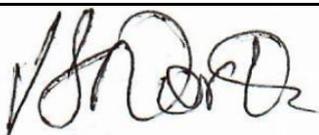
- People brought into the Academy/School to provide additional teaching or instruction for pupils but who are not staff members, such as specialist sports coaches, music tutors or artists:
- All others who are brought into the Academy/School and have regular contact with the children in the Academy/School.

13.3 Checks to be included on the central record

The single central record must indicate whether or not the following have been completed:

- Identity checks;
- Qualification checks for any qualifications legally required for the job e.g. those posts where a person must have QTS or NPQH;
- Additionally, for those applying for teaching posts, registration check with the Teaching Agency where appropriate;
- EEA checks for teachers who qualified outside of the UK;
- Checks of right to work in the United Kingdom;
- Checks on information held under the Children’s Barred List
- DBS Enhanced Check and number;
- Further overseas records checks where appropriate;
- Qualified Teacher, unqualified teacher, HLTA prohibition checks;
- S.128 checks for proprietors of an Academy / Free School;

The information needs to be recorded on the SCR by the person in the Trust/Academy/School with the responsibility for doing so. That person should sign and date the record to verify that they have checked the employee’s (or volunteer’s) details. The record needs to show the date on which check was completed or the relevant certificate obtained and should show who carried out the check.

Signature: CEO	
Signature: Chair of Board	
Date:	09.01.2018

14. Further Advice and Information

Disclosure and Barring Service (DBS)	www.homeoffice.gov.uk/agencies-public-bodies/dbs
	Criminal Records Bureau checks: guidance for volunteering document
	Applicants Guide to completing the DBS Application Form (advice on filling out forms correctly and also what identity information the <<Trust/School/Academy>> will need to see)
	ID Checking Process (advice on how to check the identity of applicants and to check for indicators of fraud)
	'Safeguarding Children and Safer Recruitment in Education' document
Department for Education	http://www.education.gov.uk/
Volunteering England	http://www.volunteering.org.uk/ Information on volunteering
Chartered Institute of Personnel and Development (CIPD)	Employing Ex-Offenders – A practical guide