



**THE  
LOUGHBOROUGH  
Schools Foundation**

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Policy Title:	Recruitment, Selection and Disclosure Policy and Procedure
Version Number:	20220905_recruitment-selection-policy
Approved By:	JCNC
Date Approved:	5 September 2022
Date to be reviewed:	Autumn 2023
Point of Contact (Reviewer):	Director of HR

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## 1 Introduction

Loughborough School Foundation (**Foundation**) is committed to providing the best possible care and education to its pupils and to safeguarding and promoting the welfare of children and young people. The Foundation is also committed to providing a supportive and flexible working environment to all its members of staff. The Foundation recognises that, in order to achieve these aims, it is of fundamental importance to attract, recruit and retain staff of the highest calibre who share this commitment.

The aims of the Foundation's recruitment policy are as follows:

- to ensure that the best possible staff are recruited on the basis of their experience, abilities and suitability for the position
- to ensure that all job applicants are considered equally and consistently
- to ensure that no job applicant is treated unfairly on any grounds including race, colour, nationality, ethnic or national origin, religion or religious belief, sex or sexual orientation, marital or civil partner status, disability or age
- to ensure compliance with all relevant legislation, recommendations and guidance including the Education (Independent School Standards) Regulations 2014 (**ISSRs**), the statutory guidance published by the Department for Education (**DfE**), *Keeping children safe in education* (1 September 2022) (**KCSIE**), *Disqualification under the Childcare Act 2006* (**DUCA**), the Prevent Duty Guidance for England and Wales 2015 (the **Prevent Duty Guidance**) and any guidance or code of practice published by the Disclosure and Barring Service (**DBS**); and
- to ensure that the Foundation meets its commitment to safeguarding and promoting the welfare of children and young people by carrying out all necessary pre-employment checks.

Employees involved in the recruitment and selection of staff are responsible for familiarising themselves with and complying with the provisions of this policy.

## 2 Data protection

The Foundation is legally required to carry out the pre-appointment checks detailed in this procedure. Staff and prospective staff will be required to provide certain information to the Foundation to enable the Foundation to carry out the checks that are applicable to their role. The Foundation will also be required to provide certain information to third parties, such as the Disclosure and Barring Service and the Teaching Regulation Agency. Failure to provide requested information may result in the Foundation not being able to meet its employment, safeguarding or legal obligations. The Foundation will process personal information in accordance with its Privacy Notice.

## 3 Advertising procedure

All recruitment exercises must be planned and timetabled to ensure the Foundation recruits the best and most suitable staff.

Prior to the commencement of any recruitment exercise a job description and person specification must be prepared for the vacant role. This will confirm that there is a genuine need for recruitment, and will assist the School in ensuring that the most appropriate candidate is recruited for the role. The job description and person specification must clearly define the role and include the following information:

- the skills, abilities, experience, attitude, and behaviours required for the role; and

- the safeguarding requirements of the role (i.e. the extent to which the role will involve contact with and responsibility for children, and whether it will amount to regulated activity with children).

If the job description and person specification are not appropriately drafted the role must not be advertised.

A detailed timetable for the recruitment process must be drawn up and approved by the Head (or COO/Director in relation to Central Service roles) before the role is advertised. The timetable must include when the advertisement will be placed and details of the personnel to be involved in the process. The Head is responsible for all roles that are advertised within their school.

Heads/COO immediate family can only be employed by the Foundation following a recruitment exercise whereby a vacant post has been externally advertised.

#### 4 **Advertisement content**

All adverts must carry the following information:

"The Foundation is committed to safeguarding and promoting the welfare of children and young people and expects all staff and volunteers to share this commitment.

Applicants will be required to undergo child protection screening appropriate to the post, including checks with past employers and the Disclosure and Barring Service (DBS). The Foundation may carry out online searches on shortlisted applicants.

The post is exempt from the Rehabilitation of Offenders Act 1974. The Foundation is therefore permitted to ask job applicants to declare all convictions and cautions on a self-declaration form in advance of attending an interview (including those which are "spent" unless they are "protected" under the DBS filtering rules) in order to assess their suitability to work with children."

#### 5 **Recruitment and selection procedure**

All applicants for employment will be required to complete an **application form** containing questions about their academic and employment history and their suitability for the role.

Incomplete application forms will be returned to the applicant where the application deadline has not passed. Should there be any gaps in academic or employment history, a satisfactory explanation must be provided. A curriculum vitae will not be accepted in place of the completed application form.

Applicants will receive a job description and person specification for the role applied for. Application forms, job descriptions, person specifications, this policy and the Foundation's child protection policy are available to download from the Foundation's website.

The Foundation will then conduct a shortlisting exercise by reviewing all application forms received in order to determine which applicants will be invited for interview. The shortlisting exercise will usually be conducted by two members of staff who will ideally also be involved in the interview process.

Shortlisted applicants will be invited to attend a **formal interview** at which their relevant skills and experience will be discussed in more detail. All shortlisted applicants will be tested at interview about their suitability to work with children.

All shortlisted applicants will be required to complete a self-declaration form prior to interview in which they will be asked to provide information about their criminal records history and other

factors relevant to their suitability to work with children. This information will be considered and discussed with applicants at interview.

If the Foundation decides to make an offer of employment following the **formal interview**, any such offer will be conditional on the following:

- the agreement of a mutually acceptable start date and the signing of a contract incorporating the Foundation's standard terms and conditions of employment
- verification of the applicant's identity (where that has not previously been verified)
- verification of qualifications, whether professional or otherwise, which the Foundation takes into account in making the appointment decision, or which are referred to in the application form, whether a requirement for the role or not
- verification of the applicant's employment history
- the Foundation being satisfied that any information generated through online searches does not make the applicant unsuitable to work at the Foundation;
- the receipt of two references (one of which must be from the applicant's most recent employer) which the Foundation considers to be satisfactory
- for positions which involve "teaching work", information about whether the applicant has ever been referred to, or is the subject of a sanction, restriction or prohibition issued by the Teaching Regulation Agency which renders them unable or unsuitable to work at the Foundation
- for applicants who have carried out teaching work outside the UK, information about whether the applicant has ever been referred to, or is the subject of a sanction issued by a regulator of the teaching profession in any other country which renders them unable or unsuitable to work at the Foundation
- where the position amounts to "regulated activity (see section 6.3.2 below) the receipt of an enhanced disclosure from the DBS which the Foundation considers to be satisfactory
- where the position amounts to "regulated activity" (see section 6.3.2 below) confirmation that the applicant is not named on the Children's Barred List\*
- information about whether the applicant has ever been subject to a direction under section 142 of the Education Act 2002 which renders them unable or unsuitable to work at the Foundation
- for management positions, information about whether the applicant has ever been referred to the Department for Education, or is the subject of a direction under section 128 of the Education and Skills Act 2008 which renders them unable or unsuitable to work at the Foundation
- confirmation that the applicant is not disqualified from acting as a trustee / governor or senior manager of a charity under the Charities Act 2011 (if applicable, see section 6.6 below)
- confirmation that the applicant is not disqualified from working in connection with early or later years provision (if applicable, see section 6.7 below)
- verification of the applicant's medical fitness for the role (see section 6.8 below)
- verification of the applicant's right to work in the UK; and
- any further checks which the Foundation decides are necessary as a result of the applicant having lived or worked outside of the UK which may include an overseas criminal records check, certificate of good conduct or professional references.

**\*The Foundation is not permitted to check the Children's Barred List unless an individual will be engaging in "regulated activity". The Foundation is required to carry out an enhanced DBS check for all staff, supply staff and governors who will be engaging in regulated activity. However, the Foundation can also carry out an enhanced DBS check on a person who would be carrying out regulated activity but for the fact that they do not carry out their duties frequently enough i.e. roles which would amount to regulated activity if carried out more frequently.**

**Whether a position amounts to "regulated activity" must therefore be considered by the Foundation in order to decide which checks are appropriate. It is however likely that in nearly all cases the Foundation will be able to carry out an enhanced DBS check and a Children's Barred List check.**

## **6 Pre-employment checks**

In accordance with the recommendations set out in KCSIE, DUCA and the requirements of the ISSRs and the *Boarding Foundations: national minimum standards* the Foundation carries out a number of pre-employment checks in respect of all prospective staff.

In fulfilling its obligations to carry out pre-employment checks the Foundation does not discriminate on the grounds of race, colour, nationality, ethnic or national origin, religion or religious belief, sex or sexual orientation, marital or civil partner status, gender reassignment, disability or age.

### **Online searches**

In addition to the checks set out below, the Foundation reserves the right to obtain such formal or informal background information about an applicant as is reasonable in the circumstances to determine whether they are suitable to work at the Foundation.

In accordance with paragraph 220 of KCSIE this will include online searches on shortlisted candidates (**online searches**). The online searches the Foundation carries out may include searches of internet search engines, websites and social media platforms.

Online searches may be carried out at the shortlisting stage or after an offer of employment has been made (but prior to work commencing). The Foundation will not carry out online searches as part of its initial sift of applications.

The Foundation will determine how it approaches online searches on a case by case basis. However, all applicants for a role at the Foundation will be treated consistently with regard to online searches.

Wherever possible online searches will be undertaken by a person who will play no other part in the recruitment process (including the shortlisting exercise) or the appointment decision. In carrying out online searches the Foundation is looking for any publicly available information about an applicant that:

- may be relevant to their suitability to carry out the role for which they have applied;
- may be relevant to their suitability to work at the Foundation or in an education setting;
- is of a safeguarding nature; and/or
- may have an impact on the Foundation's reputation (whether positive or negative).

Any information generated from online searches will be entered in a report. Where online searches are undertaken on shortlisted applicants any relevant information generated will be provided to the interview panel for discussion with shortlisted applicants at interview. Where online searches are undertaken on the successful applicant only any relevant information generated will be discussed prior to employment commencing. All offers of employment will be conditional upon the

Foundation being satisfied that the successful applicant is suitable to work at the Foundation in light of any information generated from online searches.

In evaluating any online information for relevance the Foundation will use the following criteria:

- whether the information is relevant to the position applied for;
- whether the information is relevant to the applicant's suitability to work at the Foundation or in an education setting;
- whether the information could have an impact on the Foundation's reputation (whether positive or negative);
- whether the information calls into doubt the applicant's willingness or ability to uphold the Foundation's commitment to safeguarding and promoting the welfare of children;
- the length of time since the information became publicly available and whether the applicant's circumstances have changed since the information was published;
- whether the information reveals a pattern of concerning behaviour; and
- the relevant circumstances and the explanation(s) offered by the applicant.

For successful candidates, the Foundation will retain information generated through online searches for the duration of the individual's employment and in accordance with its Retention of Records Policy after employment ends.

For unsuccessful candidates, the Foundation retains the information generated from online searches for six months from the date on which they are informed their application was unsuccessful, after which it will be securely destroyed.

#### 6.1 **Verification of identity, address, right to work in the UK and qualifications**

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

The Foundation asks for this information at interview to ensure that the person attending interview is who they claim to be, that they are permitted to work for the Foundation if appointed and that they hold appropriate qualifications.

**Identity and address:** all applicants must bring with them to interview, original documents which evidence their identity and address as set out below and in the list of valid identity documents at Appendix 1 (these requirements comply with DBS identity checking guidelines):

- one document from Group 1\*; and
- two further documents from either of Group 1, Group 2a or Group 2b, one of which must verify the applicant's current address. (\*applicants must always provide their birth certificate as one form of identity unless there is good reason why this cannot be provided).

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

The Foundation asks for the date of birth of all applicants in order to verify identity and check for any unexplained discrepancies in the employment and education history. The Foundation does not discriminate on the grounds of age.

Right to work in the UK: all applicants must also bring to interview a valid form of evidence which confirms their right to work in the UK. Valid forms of evidence can be found in the Home Office 'Right to Work Checklist': (Right to work checklist ([publishing.service.gov.uk](https://publishing.service.gov.uk))).

The Foundation will check this evidence in accordance with the Home Office 'Code of Practice on preventing illegal working: Civil penalty scheme for employers: 1 July 2021' (Code of practice on preventing illegal working ([publishing.service.gov.uk](http://publishing.service.gov.uk))).

Qualifications: all applicants must also bring to interview original documents which evidence any educational and professional qualifications referred to in their application form and / or which the Foundation requests.

## 6.2 References

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

All offers of employment will be subject to the receipt of a minimum of two references which are considered satisfactory by the Foundation. One of the references must be from the applicant's current or most recent employer. If the current / most recent employment does / did not involve work with children, then the second reference should be from the employer with whom the applicant most recently worked with children. Neither referee should be a relative or someone known to the applicant solely as a friend.

All referees will be asked whether they believe the applicant is suitable for the job for which they have applied and whether they have any reason to believe that the applicant is unsuitable to work with children. All referees will be sent a copy of the job description and person specification for the role for which the applicant has applied. If the referee is a current or previous employer, they will also be asked to confirm the following:

- the applicant's dates of employment, salary, job title / duties, reason for leaving, performance, sickness\* and disciplinary record
- whether the applicant has ever been the subject of disciplinary procedures involving issues related to the safety and welfare of children (including any in which the disciplinary sanction has expired), except where the issues were deemed to have resulted from allegations which were found to be unsubstantiated, unfounded, false or malicious
- whether any allegations or concerns have been raised about the applicant that relate to the safety and welfare of children or young people or behaviour towards children or young people, except where the allegation or concerns were found to be unsubstantiated, unfounded, false or malicious
- whether the applicant could be considered to be involved in "extremism" (see the definition of "extremism" at section 9 below).

(\*questions about health or sickness records will only be included in reference requests sent out after the offer of employment has been made.)

The Foundation will only accept references obtained directly from the referee and it will not rely on references or testimonials provided by the applicant or on open references or testimonials.

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

If it is not possible to obtain a reference prior to interview it will be reviewed upon receipt. Any discrepancies identified between the reference and the application form and/or the interview assessment form will be considered by the Foundation. The applicant may be asked to provide further information or clarification before an appointment can be confirmed.

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

The Foundation may at its discretion make telephone contact with any referee to verify the details of the written reference provided.

The Foundation treats all references given or received as confidential which means that the applicant will not usually be provided with a copy.

**All references received from a school must be countersigned by the Head of that school.**

All internal candidates who apply for a new role at the Foundation will have their application assessed in accordance with this procedure. References may be taken up on internal candidates as part of the application process and can be provided by colleagues as the Foundation will be the most recent employer and will previously have taken up references from past employers.

### 6.3 Criminal records checks

Prior to 29 May 2013 an enhanced disclosure contained details of all convictions on record (including those which are defined as "spent" under the Rehabilitation of Offenders Act 1974) together with details of any cautions, reprimands or warnings held on the Police National Computer. It could also contain non-conviction information from local police records which a chief police officer considered relevant to the role applied for at the Foundation.

#### 6.3.1 DBS filtering rules

With effect from 29 May 2013 the DBS commenced the filtering and removal of certain specified information relating to old and minor criminal offences from all criminal records disclosures. The filtering rules developed by the DBS and the Home Office designate certain spent convictions and cautions as "protected". "Protected" convictions and cautions are not included in a DBS certificate and job applicants are not required to disclose them during the recruitment process. It is unlawful for an employer to take into account a conviction or caution that should not have been disclosed. If a protected conviction or caution is inadvertently disclosed to the Foundation during the recruitment process it must be disregarded when making a recruitment decision.

A conviction will always be disclosable if it was imposed for a "specified offence" committed at any age. A caution issued for a "specified offence" committed over the age of 18 will always be disclosable. However, a caution issued for a "specified offence" committed under the age of 18 is never disclosable. "Specified offences" are usually of a serious violent or sexual nature, or are relevant for safeguarding children and vulnerable adults. The list of "specified offences" can be found at:

<https://www.gov.uk/government/publications/dbs-list-of-offences-that-will-never-be-filtered-from-a-criminal-record-check>

The filtering rules have recently been updated and work as follows:

#### **For those aged 18 or over at the time of an offence**

A spent criminal conviction for an offence committed in the United Kingdom when a person was over the age of 18 will not be disclosed in a DBS certificate (and does not have to be disclosed by the job applicant) if:

- (a) eleven years have elapsed since the date of the conviction;
- (b) it did not result in a custodial sentence; and



- (c) it was not imposed for a "specified offence".

A spent caution for an offence committed when a person was over the age of 18 will not be disclosed in a DBS certificate (and does not have to be disclosed by a job applicant) if six years have elapsed since the date it was issued; and it was not issued for a "specified offence".

#### **For those aged under 18 at the time of an offence**

A spent conviction for an offence committed when a person was under the age of 18 will not be disclosed in a DBS certificate (and does not have to be disclosed by a job applicant) if:

- (a) five and a half years have elapsed since the date of the conviction;
- (b) it did not result in a custodial sentence; and
- (c) it was not imposed for a "specified offence".

A caution issued for an offence committed when a person was under the age of 18 will never be disclosed in a DBS certificate (and does not have to be disclosed by a job applicant).

#### **6.3.2 Regulated activity**

The Foundation applies for an enhanced disclosure from the DBS and carries out a check of the Children's Barred List in respect of all positions at the Foundation which amount to "regulated activity" as defined in the Safeguarding Vulnerable Groups Act 2006 (as amended). A check of the Children's Barred List will identify whether an applicant is barred from working with children by inclusion on the Children's Barred List and to obtain other relevant suitability information. Any position undertaken at, or on behalf of the Foundation will amount to "regulated activity" if it is carried out:

- (a) frequently, meaning once a week or more; or
- (b) overnight, meaning between 2.00 am and 6.00 am; or
- (c) satisfies the "period condition", meaning four times or more in a 30 day period; and
- (d) provides the opportunity for contact with children.

Roles which are carried out on an unpaid / voluntary basis will only amount to regulated activity if, in addition to the above, they are carried out on an unsupervised basis.

It is for the Foundation to decide whether a role amounts to "regulated activity" taking into account all the relevant circumstances. However, nearly all posts at the Foundation amount to regulated activity. Limited exceptions could include an administrative post undertaken on a temporary basis in the Foundation office outside of term time or voluntary posts which are supervised.

#### **6.3.3 The DBS disclosure certificate**

The DBS issues the DBS disclosure certificate to the subject of the check only, rather than to the Foundation. It is a condition of employment with the Foundation that the **original** disclosure certificate is provided to the Foundation within two weeks of it being received by the applicant. Original certificates should not be sent by post. A convenient time and date for bringing the certificate into the Foundation should be arranged with HR as soon as it has been received.

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

#### **6.3.4 Starting work pending receipt of the DBS disclosure**

If there is a delay in receiving a DBS disclosure the Head has discretion to allow an individual to begin work pending receipt of the disclosure certificate. This will only be allowed if all other checks, including a clear check of the Children's Barred List (where the position amounts to regulated activity), have been completed and once appropriate supervision has been put in place. A written risk assessment shall be carried out in these circumstances.

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

DBS checks will still be requested for applicants with recent periods of overseas residence and those with little or no previous UK residence. The Foundation will take into account the "DBS unusual addresses guide" in such circumstances.

For applicants who are living overseas, or who have lived overseas previously, obtaining a DBS certificate may be insufficient to establish their suitability to work at the Foundation. In such cases the applicant will be required to provide additional information about their suitability from the country (or countries) in which they have lived. The Foundation's policy is to request such information from each overseas country in which the applicant has lived for a period of three months or more in the previous five years.

When requesting such information the Foundation has regard to relevant government guidance and will therefore always require the applicant to apply for a formal check from the country in question i.e. a criminal records check (or equivalent) or a certificate of good conduct.

The Foundation recognises that formal checks are not available from some countries, that they can be significantly delayed or that a response may not be provided. In such circumstances the Foundation will seek to obtain further information from the country in question, such as a reference from any employment undertaken in that country.

In addition, where an applicant for a teaching position has worked as a teacher outside of the UK, the Foundation will ask the applicant to obtain from the professional regulating authority of the teaching profession in each country in which they have worked as a teacher evidence which confirms that they have not imposed any sanctions or restrictions on the applicant and that they are not aware of any reason why the applicant may be unsuitable to work as a teacher. The Foundation will also ask shortlisted applicants (and their referees) to disclose whether they have ever been referred to, or are the subject of a sanction issued by, the regulator of the teaching profession in the countries in which they have carried out teaching work.

Sanctions and restrictions issued by the regulating authority of another country will not prevent a person from working as a teacher at the Foundation. However, the Foundation will take all relevant information into account in determining whether an applicant is suitable to work at the Foundation.

The Foundation may allow an applicant to commence work subject to a risk assessment and pending receipt of a formal check from a particular country if it has received a reference and/or letter of professional standing from that country and considers the applicant suitable to start work. Decisions on suitability will be based on all of the information that has been obtained during the recruitment process. Unless expressly waived by the Foundation, continued employment will remain conditional upon the Foundation being provided with the outcome of the formal check and it being considered satisfactory.

If no information is available from a particular country the Foundation may allow an applicant to commence work if they are considered suitable based on all of the information that has been obtained during the recruitment process.

The Foundation will take proportionate risk based decisions on a person's suitability in these circumstances. All suitability assessments must be documented and retained on file

If the formal check is delayed and the Foundation is not satisfied about the applicant's suitability in the absence of that information, the applicant's proposed start date may be delayed until the formal check is received.

#### 6.4 Prohibition from teaching check

The Foundation is required to check whether staff who carry out "teaching work" are prohibited from doing so. The Foundation uses the Teaching Regulation Agency Teacher Services system to check whether successful applicants are the subject of a prohibition, or interim prohibition order issued by a professional conduct panel on behalf of the Teaching Regulation Agency.

In addition the Foundation asks all shortlisted applicants to declare whether they have ever been referred to, or are the subject of a sanction, restriction or prohibition issued by, the Teaching Regulation Agency or other equivalent body in the UK.

Where an applicant is not currently prohibited from teaching but has been the subject of a referral to, or hearing before, the Teaching Regulation Agency (or other equivalent body) whether or not that resulted in the imposition of a sanction, or where a sanction has lapsed or been lifted, the Foundation will consider whether the facts of the case render the applicant unsuitable to work at the Foundation.

The Foundation applies the definition of "teaching work" set out in the Teachers' Disciplinary (England) Regulations 2012 which states that the following activities amount to "teaching work":

- 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.

The above activities do not amount to "teaching work" if they are supervised by a qualified teacher or other person nominated by the Head. If in any doubt or if the applicant has taught previously, or may teach in future, the check will be undertaken, including for sports coaches.

#### 6.5 Prohibition from management check

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

The Foundation will carry out checks for section 128 directions when appointing applicants into management positions from both outside the Foundation and by internal promotion.

This check applies to appointments to the following positions made on or after 12 August 2015:

- Head
- teaching posts on the senior leadership team

- teaching posts which carry a departmental head role; and
- support staff posts on the senior leadership team.

The Foundation will assess on a case by case basis whether the check should be carried out when appointments are made to teaching and support staff roles which carry additional responsibilities.

All individuals who are appointed to the governing body will be subject to a section 128 direction check.

The relevant information is contained in the enhanced DBS disclosure certificate (which the Foundation obtains for all posts at the Foundation that amount to regulated activity). It can also be obtained through the Teaching Regulation Agency Teacher Services system. The Foundation will use either, or both, methods to obtain this information.

In addition the Foundation asks all shortlisted applicants to declare whether they have ever been the subject of a referral to the Department for Education, or are subject to a section 128 direction or any other sanction which prohibits, disqualifies or restricts them from being involved in the management of an independent Foundation.

Where an applicant is not currently prohibited from management but has been the subject of a referral to, or hearing before, the Department for Education or other appropriate body, whether or not that resulted in the imposition of a section 128 direction or other sanction, or where a section 128 direction or other sanction has lapsed or been lifted, the Foundation will consider whether the facts of the case render the applicant unsuitable to work at the Foundation.

## **6.6 Disqualification from acting as a charity trustee or senior manager**

### **6.6.1 Background**

Under the Charities Act 2011 it is a criminal offence for a person to act as a trustee or senior manager of a charity when disqualified from doing so. The Charities Act 2011 sets out the grounds on which a person can be disqualified from acting as a trustee or senior manager. These include various spent and unspent criminal offences and other sanctions.

### **6.6.2 Who is covered**

A person is considered to be a charity trustee if they are one of the people who have general control and management of the administration of the charity. In an independent Foundation the trustees will typically be the governors of the Foundation.

Senior managers include those employees who report directly to the charity trustees or have responsibility for the overall management and control of the charity's finances. At the Foundation the disqualification rules will be applicable to all governors, the Head / Principal, Bursar and potentially other senior staff who report directly to the governors.

There is no single list or register that covers all of the disqualification criteria and the School therefore adopts a pragmatic approach to checking whether a person is disqualified. This is achieved by the use of a self-declaration form and the checking of relevant publically accessible registers.

### **6.6.3 Self-declaration**

All those who are covered by the disqualification rules are required to complete a self-declaration form to confirm whether, to the best of their knowledge, they are subject to any of the disqualification criteria.

A failure to disclose relevant information, or the provision of false information, which subsequently comes to the Foundation's attention may result in the termination of an appointment as a governor or senior manager or the withdrawal of an offer of employment and may also amount to a criminal offence.

All those who are required to complete a self-declaration form are also under an ongoing duty to inform the Foundation if there is a change in their circumstances that results or may result in them becoming disqualified from acting as a governor or senior manager.

#### 6.6.4 Waiver

A person who discloses that one or more of the disqualification criteria is applicable to them may apply to the Charity Commission for a waiver of the disqualification.

The Foundation may at its absolute discretion withdraw an offer of employment for a senior manager or cease or terminate an appointment to the governing body if a waiver application becomes necessary or is rejected by the Charity Commission. The Foundation is under no obligation to await the outcome of a Charity Commission waiver application before taking such action.

### 6.7 Childcare disqualification

The Childcare Act 2006 (**Act**) and the Childcare (Disqualification) and Childcare (Early Years Provision Free of Charge) (Extended Entitlement) (Amendment) Regulations 2018 (**Regulations**) state that it is an offence for the Foundation to employ anyone in connection with our early years provision (**EYP**) or later years provision (**LYP**) who is disqualified, or for a disqualified person to be directly involved in the management of EYP or LYP.

#### 6.7.1 Definitions

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

DUCA states that only those individuals who are employed directly to provide childcare are covered by the Regulations. "Childcare" means any form of care for a child, which includes education and any other supervised activity for a child who is aged 5 or under. "Childcare" in LYP does not include education during Foundation hours but does cover before and after Foundation clubs.

#### 6.7.2 Relevant roles

Roles which will be covered by the Regulations are teaching and teaching assistant positions in EYP, and those which involve the supervision of under 8s in LYP. Those who are directly involved in the management of EYP and LYP include the Head, and may also include other members of the leadership team as well as those involved in the day to day management of EYP or LYP at the Foundation.

DUCA contains an express statement that cleaners, drivers, transport escorts, catering and office staff are not covered by the Regulations.

Some roles at the Foundation may involve the provision of childcare in EYP or LYP on an occasional basis. They will not automatically be within the scope of the Regulations and the Foundation will therefore consider whether they do on a case by case basis. The Regulations only apply to a limited number of roles within the Foundation but do extend beyond employees to governors and volunteers who carry out relevant work in EYP or LYP.

### 6.7.3 Grounds for disqualification

The grounds on which a person will be disqualified from working in connection with EYP or LYP are set out in the Regulations. They are not only that a person is barred from working with children (by inclusion on the Children's Barred List) but also include:

- (a) having been cautioned (after 6 April 2007) for, or convicted of, certain criminal offences including violent and sexual criminal offences against children and adults whether committed in the United Kingdom or overseas;
- (b) various grounds relating to the care of children, including where an order is made in respect of a child under the person's care;
- (c) having been refused registration for the provision of childcare (including nurseries, day care and child minding or other childcare), having been disqualified from any such registration or having had that registration cancelled;
- (d) having been refused an application for registration of a children's home or having had any such registration cancelled; or
- (e) having been prohibited, restricted or disqualified from private fostering.

### 6.7.4 Self-declaration form

All applicants to whom an offer of employment is made to carry out a relevant role in EYP or LYP will be required to complete a self-declaration form confirming whether they meet any of the criteria for disqualification under the Regulations.

The Foundation will decide whether a role is relevant and within the scope of EYP or LYP by having regard to the guidance in DUCA. Employment with the Foundation in any relevant role will be conditional upon completion of the self-declaration form and upon the applicant not being disqualified.

The Foundation cannot permit any person who is currently disqualified to start work in a relevant role. The Foundation also reserves the right at its absolute discretion to withdraw an offer of employment if, in the opinion of the Foundation, any information disclosed in the self-declaration form renders that person unsuitable to work at the Foundation.

Applicants who have any criminal records information to disclose about themselves must also provide the following information:

- (a) details of the order, restriction, conviction or caution and the date that this was made;
- (b) the relevant court or body and the sentence, if any, which was imposed; and
- (c) a copy of the relevant order or conviction.

**Applicants are not required to disclose a caution or conviction for an offence committed in the United Kingdom if it has been filtered in accordance with the DBS filtering rules (see section 6.3.1 above).**

**For the avoidance of doubt the Foundation does not require applicants to request any criminal records information directly from the DBS. The Foundation only requires applicants to provide relevant information about themselves "to the best of their knowledge".**

#### **6.7.5 Waiver of a disqualification**

A person who discloses information which appears to disqualify them from working in a relevant role may apply to Ofsted for a waiver of the disqualification. The Foundation may withdraw an offer of employment at its absolute discretion and is under no obligation to await the outcome of an Ofsted waiver application. If a waiver application is rejected the Foundation will withdraw the conditional offer of employment.

#### **6.7.6 Retention of disqualification information**

The Foundation will securely destroy any information which is provided by an applicant which is not relevant to the childcare disqualification requirements as soon as it is established that it is not relevant. Where a person appointed to a role at the Foundation is found to be disqualified the Foundation will retain any relevant information only for the period it takes for a waiver application to be heard and the decision communicated to the Foundation, after which it will be securely destroyed.

#### **6.7.7 Continuing duty to disclose change in circumstances**

After making this declaration staff in a relevant role are under an on-going duty to inform the Foundation if their circumstances change in a way which would mean they subsequently meet any of the criteria for disqualification. Any failure to disclose relevant information now, or of a future change in circumstances, will be treated as a serious disciplinary matter and may lead to the withdrawal of a job offer or dismissal for gross misconduct.

### **6.8 Medical fitness**

The Foundation is legally required to verify the medical fitness of anyone to be appointed to a post at the Foundation, after an offer of employment has been made but before the appointment can be confirmed.

It is the Foundation's practice that all applicants to whom an offer of employment is made must complete a Health Questionnaire. The Foundation will arrange for the information contained in the Health Questionnaire to be reviewed by the Foundation's medical advisor. 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 i.e. proposed timetable, extra-curricular activities, layout of the Foundation etc. If the Foundation's medical advisor has any doubts about an applicant's fitness the Foundation will consider reasonable adjustments in consultation with the applicant. The Foundation may also seek a further medical opinion from a specialist or request that the applicant undertakes a full medical assessment.

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

## **7 Contractors and agency staff**

The Foundation must complete the same checks for contractors and their employees undertaking regulated activity at the Foundation as it does for its own employees. The Foundation requires written confirmation from the contractor that it has completed these checks on all of those individuals whom it intends will work at the Foundation before any such individual can commence work at the Foundation.

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

The Foundation will independently verify the identity of individuals supplied by contractors or an agency in accordance with section 6.1 above and requires the provision of the DBS disclosure certificate before those individuals can commence work at the Foundation.

## **8 Volunteers**

The Foundation will undertake a written risk assessment to decide what vetting checks are required for a volunteer.

The Foundation will request an enhanced DBS disclosure and Children's Barred List information on all volunteers undertaking regulated activity with pupils at or on behalf of the Foundation (the definition of regulated activity set out in section 6.3.2 above will be applied to all volunteers).

The Foundation will request an enhanced DBS disclosure without Children's Barred List information on all volunteers who do not undertake regulated activity. This is likely to be because their volunteering duties are subject to regular, day to day supervision by a fully checked member of staff or by a volunteer who the Foundation has deemed appropriate to supervise and ensure the safety of those pupils in their care.

Under no circumstances will the Foundation permit an unchecked volunteer to have unsupervised contact with pupils.

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

In addition the Foundation will seek to obtain such further suitability information about a volunteer as it considers appropriate in the circumstances. This may include (but is not limited to the following):

- Overseas checks (in line with para 6.3.5 above)
- Confirmation the volunteer is not disqualified from working with children (in line with para 6.7 above)
- formal or informal information provided by staff, parents and other volunteers
- character references from the volunteer's place of work or any other relevant source; and
- an informal safer recruitment interview.



## 9 Visiting speakers and the Prevent Duty

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

The Foundation is not permitted to obtain a DBS disclosure or Children's Barred List information on any visiting speaker who does not engage in regulated activity at the Foundation or perform any other regular duties for or on behalf of the Foundation.

All visiting speakers will be subject to the Foundation's usual visitors protocol. This will include signing in and out at Reception, the wearing of a visitors badge at all times and being escorted by a fully vetted member of staff between appointments.

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

*"Extremism" is vocal or active opposition to fundamental British values, including democracy, the rule of law, individual liberty and mutual respect and tolerance of different faiths and beliefs. We also include in our definition of extremism calls for the death of members of our armed forces, whether in this country or overseas. Terrorist groups very often draw on extremist ideas developed by extremist organisations."*

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

## 10 Policy on recruitment of ex-offenders

### 10.1 Background

The Foundation will not unfairly discriminate against any applicant for employment on the basis of conviction or other details disclosed. The Foundation makes appointment decisions on the basis of merit and ability. If an applicant has a criminal record this will not automatically bar them from employment with the Foundation. Each case will be decided on its merits in accordance with the objective assessment criteria set out in paragraph 10.2 below.

All positions within the Foundation are exempt from the provisions of the Rehabilitation of Offenders Act 1974. All applicants must therefore declare all previous convictions and cautions, including those which would normally be considered "spent" except those received for an offence committed in the United Kingdom if it has been filtered in accordance with the DBS filtering rules (see section 6.3.1 above).

A failure to disclose a previous conviction (which should be declared) may lead to an application being rejected or, if the failure to disclose is discovered after employment has started, may lead to summary dismissal on the grounds of gross misconduct. A failure to disclose a previous conviction may also amount to a criminal offence.

It is unlawful for the Foundation to employ anyone who is barred from working with children. It is a criminal offence for any person who is barred from working with children to apply for a position at the Foundation. The Foundation will make a report to the police and / or the DBS if:

- it receives an application from a barred person
- it is provided with false information in, or in support of an applicant's application; or

- it has serious concerns about an applicant's suitability to work with children.

## 10.2 Assessment criteria

In the event that relevant information (whether in relation to previous convictions or otherwise) is volunteered by an applicant during the recruitment process or obtained through a disclosure check, the Foundation will consider the following factors before reaching a recruitment decision:

- whether the conviction or other matter revealed is relevant to the position in question
- the seriousness of any offence or other matter revealed
- the length of time since the offence or other matter occurred
- whether the applicant has a pattern of offending behaviour or other relevant matters
- whether the applicant's circumstances have changed since the offending behaviour or other relevant matters; and
- the circumstances surrounding the offence and the explanation(s) offered by the applicant.

If the post involves regular contact with children, it is the Foundation's normal policy to consider it a high risk to employ anyone who has been convicted at any time of any the following offences:

- murder, manslaughter, rape, other serious sexual offences, grievous bodily harm or other serious acts of violence; or
- serious class A drug related offences, robbery, burglary, theft, deception or fraud.

If the post involves access to money or budget responsibility, it is the Foundation's normal policy to consider it a high risk to employ anyone who has been convicted at any time of robbery, burglary, theft, deception or fraud.

If the post involves some driving responsibilities, it is the Foundation's normal policy to consider it a high risk to employ anyone who has been convicted of drink driving within the last ten years.

## 10.3 Assessment procedure

In the event that relevant information (whether in relation to previous convictions or otherwise) is volunteered by an applicant during the recruitment process or obtained through a disclosure check, the Foundation will carry out a risk assessment by reference to the criteria set out above. The assessment form must be signed by Chief Operating Officer or a Head of the Foundation before a position is offered or confirmed.

If an applicant wishes to dispute any information contained in a disclosure, they may do so by contacting the DBS. In cases where the applicant would otherwise be offered a position were it not for the disputed information, the Foundation may, where practicable and at its discretion, defer a final decision about the appointment until the applicant has had a reasonable opportunity to challenge the disclosure information.

## 10.4 Retention and security of disclosure information

The Foundation's policy is to observe the guidance issued or supported by the DBS on the use of disclosure information.

## 11 Referrals to the DBS and Teaching Regulation Agency

This policy is primarily concerned with the promotion and practice of safer recruitment. However, applicants should also be aware that the Foundation has legal responsibilities to fulfil when employment comes to an end. In particular, the Foundation also has a legal duty to make a referral to the DBS where:

- an individual has applied for a position at the Foundation despite being barred from working with children; and/or
- an individual has been removed by the Foundation from working in regulated activity (whether paid or unpaid), or has resigned prior to being removed, because they have harmed, or pose a risk of harm to, a child.

The DBS will consider whether to impose sanctions on that individual which may restrict or prevent them from working with children in future.

In addition, if a teacher is dismissed because they are found to have committed serious misconduct, or they have breached the Teachers' Standards, or they resign prior to dismissal on such grounds, the Foundation will make a referral to the Teaching Regulation Agency.

The Teaching Regulation Agency will consider whether to impose a prohibition from teaching order.

## 12 Queries

If an applicant has any queries on how to apply for a post at the Foundation they should contact the Director of HR.

## Appendix 1 List of valid identity documents

### Group 1: primary identity documents

- current valid passport
- biometric residence permit (UK)
- current driving licence photocard - full or provisional (UK / Isle of Man and Channel Islands)
- birth certificate - issued within 12 months of birth (UK, Isle of Man and Channel Islands - including those issued by UK authorities overseas, such as Embassies, High Commissions and HM Forces)
- adoption certificate (UK and Channel Islands)

### Group 2a: trusted government documents

- current driving licence photocard - full or provisional (all countries outside the UK excluding Isle of Man and Channel Islands)
- current driving licence paper version if issued before 1998 – full or provisional (UK / Isle of Man and Channel Islands)
- birth certificate - issued after time of birth (UK, Isle of Man and Channel Islands)
- marriage / civil partnership certificate (UK and Channel Islands)
- immigration document, visa or work permit (issued by a country outside the EEA. Valid only for roles whereby the applicant is living and working outside of the UK. Visa / permit must relate to the non UK country in which the role is based)
- HM Forces ID card (UK)
- fire arms licence (UK, Channel Islands and Isle of Man)

All driving licences must be valid.

### **Group 2b: Financial and social history documents**

- mortgage statement (UK)\*\*
- bank / building society statement (UK and Channel Islands)\*
- bank / building society statement (countries outside the UK)\*
- bank / building society account opening confirmation letter (UK)\*
- credit card statement (UK)\*
- financial statement - e.g. pension, or endowment (UK)\*\*
- P45 / P60 statement (UK and Channel Islands)\*\*
- council tax statement (UK and Channel Islands)\*\*
- letter of sponsorship from future employment provider (non UK only; valid only for applicants residing outside the UK at the time of application; must be valid at time of application)
- utility bill (UK; not mobile telephone bill)\*
- benefit statement - e.g. child benefit, pension (UK)\*
- a document from central or local government/ government agency / local council giving an entitlement - e.g. from the Department for Work and Pensions, the Employment Service , HM Revenue & Customs (UK and Channel Islands) \*
- EEA national ID card (must be valid at time of application)
- Irish passport card (cannot be used with an Irish passport; must be valid at time of application)
- cards carrying the PASS accreditation logo (UK, Isle of Man and Channel Islands; must be valid at time of applications)
- letter from Head or College Principal (UK; for 16-19 year olds in full-time education. This is only used in exceptional circumstances if other documents cannot be provided; must be valid at time of application).

### **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 less than 12 months old