



DBS and Safeguarding Policy

Policy Code:	HR16
Policy Start Date:	September 2014
Policy Review Date:	September 2015

Please read this policy in conjunction with the policies listed below:

- HR4 Recruitment and Selection Policy.
- HR9 Positive Handling Policy.
- HR12 Staff Disciplinary Policy.
- SW5 Safeguarding and Child Protection (Promoting Students Welfare) Policy.
- Duty to Refer Guidance Documents Feb 2014



**The Priory Federation of
Academies Trust** **Policy Status:** Approved
(September 2014)

Policy Document

DBS and Safeguarding
Policy
Human Resources

Ref. HR16

Page 1 of 11

1. Policy Statement

- 1.1 The Disclosure and Barring Service (DBS), launched on 1st December 2012, merged the services previously provided by the Criminal Records Bureau (CRB) and the Independent Safeguarding Authority (ISA).
- 1.2 The safeguarding of children and young people is paramount, and the Trust is fully committed to the rigorous implementation of the DBS requirements. It is a statutory requirement that all new appointments to the Trust's workforce must have an enhanced DBS disclosure under the School Staff (England Amendment) Regulations 2006. This includes those recruited to the academies from overseas, where additional checks will also be made (see section 6).
- 1.3 There is also a requirement under the regulations for the Trust to keep a single central record detailing a range of checks carried out on Trust employees, trustees and others who have regular contact with children and young people (see section 11). All employees of the Trust and all regular helpers must have an up-to-date DBS Enhanced Disclosure prior to taking up their post or role. Enhanced Disclosures show spent and unspent convictions and cautions. The police may also provide details of acquittals or other non-conviction information held on police records which are reasonably considered relevant to the job or role being sought. A DBS Enhanced Disclosure will also indicate if an individual has been barred from teaching.
- 1.4 The Trust policy is to renew DBS checks for all employees and volunteers every 3 years.

2. Responsibility and Implementation

- 2.1 The Pay, Performance and HR Committee has overall responsibility for the effective operation of this policy and for ensuring compliance with the relevant statutory framework. The Pay, Performance and HR Committee delegates day-to-day responsibility for operating the policy and ensuring its implementation, review and maintenance to the Head of Human Resources.
- 2.2 Leaders and managers have a specific responsibility to ensure the fair application of this policy. All members of staff are responsible for supporting colleagues in ensuring its success.



Policy Document

DBS and Safeguarding
Policy

Ref. HR16

Page 2 of 11

Human Resources

3. Audit Requirements

- 3.1 A central record of all applications for DBS clearance and subsequent clearances will be held at Trust headquarters. For new employees, updates or renewals, Academies will complete the appropriate application form and forward it to Federation headquarters. The responsible persons at the Federation will check the form for completion, submit the form to the authorised signatory for signing and then forward it to the relevant authorities for clearance. The DBS certificate will be sent directly from the DBS to the applicant. The applicant must bring the original certificate to the relevant Academy/Federation headquarters for recording of the certificate details. A spreadsheet recording relevant information about employees including DBS applications and status will be maintained by the Academy/Federation headquarters in line with Ofsted requirements.

4. Selection and Screening Process

- 4.1 It is vital that the Trust has robust recruitment and vetting procedures to ensure that children and young people are safeguarded. This includes the prevention of unsuitable persons entering Trust premises. It is therefore essential that Academies check the identity, qualifications, Enhanced DBS Disclosure, medical clearance, references, and for teachers, relevant qualifications, prior to the individual starting work. Advice on all of these checks can be sought from the Human Resources Department.
- 4.2 References will always be taken up and must be obtained directly from the referee. These should be available at the interview stage. Two written references are required, the first of which must be from the current employer, or most recent employer if the applicant is not currently employed. The reference request will ask for a range of specific comments related to the post, including whether the candidate has ever been the subject of a disciplinary hearing or capability process; whether they meet in full the criteria for the post; and whether there is any known reason why the person should not be employed to work with children. The Trust will check the appropriateness of the second reference. For example, if a candidate has given a referee from a long time ago rather than the second most recent employer, this should be explored further with the candidate.
- 4.3 In checking carefully the employment history of candidates, it is essential to look for any breaks in service that cannot immediately be



Policy Document

DBS and Safeguarding
Policy
Human Resources

Ref. HR16

Page 3 of 11

explained. These should always be followed up at interview and further advice sought if required.

- 4.4 If an enhanced DBS has not been returned before the start date of an employee, a risk assessment must be carried out. This includes:
- a completed and submitted enhanced DBS application;
 - a barred list (previously List 99) check;
 - pre-employment checks as outlined in the Recruitment and Selection Policy;
 - sufficient safeguards are introduced by the employee's manager for the employee not to have unsupervised access to children or adults until a clear enhanced DBS check has been returned

5. DBS Enhanced Disclosures Provided by the Individual.

5.1 Photocopying

The photocopying of any DBS Disclosure is only actioned when approval has been given by the owner. (See section 10 for storage and destruction requirements).

5.2 Portability

Academies/Federation headquarters will follow the guidance provided by the DBS regarding whether a DBS Disclosure is 'portable' or not.

5.2 Newly Appointed Staff

The Trust is committed to safeguarding and promoting the welfare of children and young people and expects all staff to share this commitment. All positions are subject to an Enhanced DBS Disclosure.

6 Obtaining a Disclosure

6.1 Employees

All Trust employees must have an up-to-date Enhanced Disclosure prior to taking up their post or role. This also applies to any other individual, such as a consultant, who is a regular visitor to any Trust site and has unsupervised access to children or young people.

6.2 Volunteers



Policy Document

DBS and Safeguarding
Policy

Ref. HR16

Page 4 of 11

Human Resources

All volunteers with regular unsupervised access to the Trust sites must have an Enhanced Disclosure prior to taking up their role. Volunteers helping with single events and infrequent visitors to the sites who do not have unsupervised access to children will not be checked. Many other volunteers fall between these two extremes and the Chief Executive, in consultation with the Head of Human Resources, will make a risk assessment and apply their professional judgement in deciding whether a disclosure is required. The DBS definition of a volunteer is:

“A person engaged in an activity which involves spending time, unpaid (except for travel and other approved out-of-pocket expenses), doing something which aims to benefit some third party other than or in addition to a close relative.”

6.3 Governors and Trustees

All Governors and Trustees are required to obtain an Enhanced Disclosure.

6.4 Supply/Agency Staff and Outside Contractors

The Chief Executive must be satisfied that all supply/agency staff and regular contractors (e.g. cleaning staff employed externally) who are supplied to work in any Trust site, have obtained an enhanced disclosure and have satisfactory references. The Chief Executive will ask supply agencies to verify that the check has been made and this verification must be in writing. The supply agency can be asked to confirm that the checks have been undertaken at the point of confirming terms of the contract of supply. A separate central record is held at Trust headquarters to record these verifications. All groups such as NHS nurses and Music Services must have an enhanced disclosure.

6.5 Teachers and Support Staff from Abroad

All of the same pre-employment checks will be made on Trust employees who live abroad as those for all other employees. A disclosure for employees from other countries will not necessarily detail



Policy Document

DBS and Safeguarding
Policy

Ref. HR16

Page 5 of 11

Human Resources

offences committed whilst abroad. Therefore, the Trust will ask the member of staff to apply to their home police force or embassy for a certificate of good conduct, as well as from other countries where they have worked. The Trust is aware that the level of information contained in these certificates varies between countries, from complete to only partial extracts of a record.

- 6.6 UK nationals returning to the UK having worked abroad will also be asked to obtain a certificate of good conduct from the country or countries in which they have worked.
- 6.7 Agencies providing overseas trained teachers will be asked to give full details of the checks obtained. Where an applicant is from a country where criminal record checks cannot be made for child protection purposes, the Trust will take extra care in taking up references and carrying out other checks on a person's background and will refer to the Head of Human Resources.

7. People Not Requiring an Enhanced Disclosure

- 7.1 Examples of people who do not require a disclosure include:
- a) visitors who have business with Trust staff or who have only occasional or brief contact with children with a teacher present;
 - b) visitors, including building and other contractors; who come on site only to work in an area where no children are present; or if in an area where children are present, the visitor is accompanied by an appropriate Trust employee;
 - c) secondary school students on work experience in their schools or nursery classes. The academy placing the student will ensure that they are suitable for the placement. The host Academy is responsible for their supervision;
 - d) people who are on site before or after teaching hours when children are not present, e.g. local groups who hire premises for community or leisure activities. Note: if children are participating in the activity during the hire period, whether students of the school or not, then a DBS disclosure will be required.

8. When a Conviction or Caution is Revealed

When a conviction or caution is revealed, the Chief Executive or Head of Human Resources will speak to the Head of Academy in confidence and offer advice on how to proceed. Following these discussions, the Head of Human Resources will write a confidential letter to the



Policy Document

DBS and Safeguarding
Policy
Human Resources

Ref. HR16

Page 6 of 11

employee concerned, a copy of which will be put on their personnel file with any notes, including the action taken. This will state whether any further action will be taken or not.

9. Barred List (previously List 99) Checks

- 9.1 A barred list check is a service provided by an external agency to check whether the applicant has been placed on the sex offenders register.
- 9.2 This check is only carried out when an employee/volunteer is starting their role at an Academy within a time period which is too short for a DBS check to be processed and returned.
- 9.3 An enhanced DBS check must also be completed even if the barred list check is returned as clear and the employee must not work unsupervised with children until their DBS check has been returned and the Trust is satisfied with the outcome of the check.
- 9.4 If a barred list check is returned showing that there is a risk, the Head of Human Resources will follow national guidance from the DBS service.

10. Storage and Destruction Requirements for DBS Disclosures

- 10.1 Information disclosed as part of a DBS check will be treated as 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. DBS certificates will only be photocopied when approval has been given by the owner. The details will be taken and recorded on the Federation's/ Academy's single central registers.

11. Trust Record Keeping of Recruitment and Vetting Checks

11.1 Single Central Record

The DfE requires all schools to be able to demonstrate that they have robust and accurate records of all pre-employment recruitment and vetting checks that they have carried out. This information must be compiled in a single central record of completed checks in each academy. Each individual academy will hold their own single central



**The Priory Federation of
Academies Trust** **Policy Status:** Approved
(September 2014)

Policy Document

DBS and Safeguarding
Policy
Human Resources

Ref. HR16

Page 7 of 11

record and a central one for Trust employees is held centrally at Federation headquarters.

11.2 Individual Records

A record will be held for all individuals within the following categories:

- a) all staff who are employed by the Trust;
all staff employed by the Trust as supply staff, and having regular contact with children; and
- b) all others who work for the Trust who have regular contact with children, including volunteers, Governors and Trustees who also work as volunteers within the Trust, and people brought into the Trust to provide additional teaching or other experience to students, but who are not staff members e.g. a specialist sports coach or artist.

The Federation headquarters holds centrally a single central record for external contractors and visitors, who have authorised the Trust to hold their DBS check on file.

12. Information Held

12.1 The following information will be held on the academy's central record:

- identity – name, address and date of birth;
- photo ID verification and date seen;
- qualifications – where the qualification is a requirement of the job role, e.g. those posts where a person must have QTS;
- evidence of permission to work for those who are not nationals of a European Economic Area (EEA) country;
- DBS Enhanced Disclosure and date the check was evidenced ;
- Pre-employment medical clearance;
- Details of two satisfactory references.

Note: for volunteers, only details of identity/Photo ID and date of barred list (if applicable) and/or DBS check are required.

12.2 Identity

For identity, the information to be held is name, address and date of birth. The Trust must ask to see proof of identity, such as a birth certificate, driving licence or passport, combined with evidence of address. Some form of photographic ID must be seen. Individuals must



**The Priory Federation of
Academies Trust** **Policy Status:** Approved
(September 2014)

Policy Document

DBS and Safeguarding
Policy
Human Resources

Ref. HR16

Page 8 of 11

provide details of any other names by which they may have been known i.e. maiden names or names changed by deed poll.

12.3 Qualifications

The information should record evidence of only those qualifications which are a regulatory requirement for the post concerned. The Trust is not expected to include in the record of checks all the qualifications which staff have declared in their job applications, only those relevant to the job role.

12.4 Overseas Staff

For those from overseas for whom the Trust needs a record of their permission to work in the UK, this should be verified where the school does not already have a record of this.

12.5 DBS Certificate Date and Number

The DBS certificate date and disclosure number will be recorded on the Academy's/Federation's single central register.

12.6 Medical Clearance

The date the clearance was received will be recorded on the single central register.

12.7 Employment References

Details of two satisfactory references (see section 4)

13. Counter-signatures for the Trust

13.1 The Head of Human Resources is the counter-signatory for all DBS applications for the Trust, and they must be signed by the counter-signatory before they are sent to the DBS for processing.

14. Duty to Refer

14.1 A referral to the DBS should be made when an employee or volunteer has harmed or poses a risk of harm to a child.



**The Priory Federation of
Academies Trust** **Policy Status:** Approved
(September 2014)

Policy Document

DBS and Safeguarding
Policy
Human Resources

Ref. HR16

Page 9 of 11

- 14.2 Employers and volunteer managers of people working in 'regulated activity' in England, Wales and Northern Ireland are called 'regulated activity providers', and the legal duty to refer applies to them.
- 14.3 When making a referral, the Head of Human Resources must complete and sign a referral form and include any information that has been requested on the form, and is held by the Trust, then post to the DBS.
- 14.4 Referrals must be made to the DBS when two conditions have been met. These conditions are:
- Condition 1 - You withdrew permission for a person to work in regulated activity with children and/or adults either through dismissal or by moving the person to another area that is not regulated activity.*
 - Condition 2 - You **think** the person has carried out one of the following:
 - Been cautioned or convicted of a relevant (automatic barring) offence; or,
 - Engaged in relevant conduct in relation to children and/or adults (i.e. an action or inaction (neglect) that has harmed a child or vulnerable adult or put them at risk or harm); or,
 - Satisfied the Harm Test in relation to children or vulnerable adults. (i.e. there has been no relevant conduct (i.e. no action or inaction) but a risk of harm to a child still exists).

*Condition one includes situations where an employer/volunteer manager would or may have dismissed the person or moved them to other duties, if the person had not resigned, retired or otherwise left their work.

15 Data Protection

The Trust will ensure that sensitive personal information is held securely, and only seen by those entitled to see it in the course of their duties. All personal information will only be stored for as long as necessary, and then confidentially destroyed.

16. Procedures

This procedure may only be amended or withdrawn by The Priory Federation of Academies.



**The Priory Federation of
Academies Trust**

Policy Status: Approved
(September 2014)

Policy Document

DBS and Safeguarding
Policy
Human Resources

Ref. HR16

Page 10 of 11

The Priory Federation of Academies DBS and Safeguarding Policy

This Policy has been approved by the Pay, Performance and HR Committee:
Chair of the Committee

Signed..... Name..... Date:

Trustee

Signed..... Name..... Date:

Chief Executive Officer

Signed..... Name..... Date:

Designated Member of Staff

Please note that a signed copy of this agreement is available via Human
Resources.