

Safer Recruitment Schools Self-Assessment Toolkit

1. Why Conduct a Self-Assessment?

The County Council and Schools have a shared commitment to keep children and young people safe. This is underpinned by statutory obligations; the Department of Education guidance *Keeping Children Safe in Education* (September 2016) aims to ensure that appropriate systems are in place for recruitment, selection and pre-employment vetting of staff, thereby reducing (but not eliminating) the risk of appointing unsuitable people to positions of trust.

Governing Bodies need to ensure that staff who are responsible for recruitment within the school adhere to this guidance in order to safeguard pupils and staff in the school. Conducting a Safer Recruitment Self-Assessment using this toolkit will provide assurance that this is being done, and will help to identify any issues or areas for improvement in your current processes. Following your self-assessment, the toolkit can be used as an action plan to address any issues raised.

This self-assessment is focused on the recruitment of staff; for guidance regarding checks on volunteers, contractors, visitors etc. please see *Keeping Children Safe in Education (Part 3)*.

2. How to Conduct a Self-Assessment

We recommend that for your Safer Recruitment Self-Assessment, you select a sample of five recent appointments (it may be appropriate to reduce this sample size for smaller schools). This should include a mixture of both teaching and non-teaching staff. The toolkit includes checks against 24 key controls which all schools should have in place; however, not all of these controls will be relevant for every staff sample (for instance, checks on agency staff).

Completing the Self-Assessment will involve reviewing the Single Central Record; relevant policies and procedures; and the employment files for the five sampled staff.

3. Who to Contact for Guidance

If you would like further guidance and support, please contact your Education Advisor.

Alternatively, contact Internal Audit: internal.audit@cambridgeshire.gov.uk

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	Control or Procedure	Expected evidence of Good Practice / Key Controls (shaded)	Findings	Any Actions Required	Owner & Timescale
A	GOVERNANCE AND POLICIES				
1	Has the Full Governing Body approved a Recruitment and Selection policy which sets out all the recruitment checks that must be completed prior to staff being appointed, and is compliant with <i>Keeping Children Safe in Education</i> ?	A policy which includes these criteria has been approved by the Personnel/Resources Committee and/or the Full Governing Body, and details of this have been minuted.			
2	Has the Full Governing Body adopted a Whistleblowing Policy?	The Whistleblowing Policy has been approved by the Full Governing Body and details of this have been minuted.			
3	As a minimum, have the Head Teacher and a Governor completed Safer Recruitment training?	<p>The Head Teacher and a Governor have completed Safer Recruitment training and copies of the certificates are held on file in the school.</p> <p>We would recommend that as a general principle, face-to-face training is preferable to online.</p>			
B	APPLICATION FORMS				
4	Are application forms checked to ensure that:	The school’s procedures should ensure that these key areas are checked.			

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	<ul style="list-style-type: none"> • A full history of employment and training is provided? • The section on criminal convictions has been completed by the applicant? • The applicant has confirmed they have not been subject to a CP investigation? • The application form has been physically signed by the employee? <p>Deliberate non-completion may be in order to conceal information from the interview panel.</p>	For the sample of 5 new employees, if there were any queries on these areas these should have been queried and resolved before the employee took up their post.			
C	RESPONSIBILITIES FOR SAFEGUARDING				
5	Are the individual's duties / responsibilities for safeguarding pupils included in their job description and person specification?	For the sample of 5 new employees, the job description/person specification clearly states the individual's responsibilities in relation to safeguarding.			
D	INTERVIEWS				
6	Is evidence provided confirming who was on the interview panel, and has at least one of the interview panel	For the sample of 5 new employees, the interview evidence confirms who was on the interview panel. At least			

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	been trained in Safer Recruitment, as per the School Staffing Regulations?	one of the panel members had attended Safer Recruitment Training.			
7	<p>Is there at least one question which challenges the applicant's knowledge and awareness of safeguarding?</p> <p>Do the remaining questions:</p> <ul style="list-style-type: none"> • Give applicants an opportunity to declare any convictions as part of the interview process? • Pursue any gaps in employment and training history? 	For the sample of 5 new employees, there was evidence that a question on knowledge of safeguarding was asked at interview, and there were prompts on the pro-forma to pursue gaps in employment/training history and to declare any convictions.			
E	DBS DISCLOSURE & BARRED LIST				
8	<p>For new employees, has enhanced DBS clearance including Barred List information been obtained by the school?</p> <p>Has the LA policy on portability been complied with?</p>	<p>For the sample of 5 new employees, confirmation of enhanced DBS clearance is held on file.</p> <p>If a portable DBS was used, Barred List clearance was also separately obtained prior to their first day of employment.</p>			
9	If the employee started work before DBS clearance had been confirmed, was Barred List clearance obtained and a formal documented Risk	For the sample of 5 new employees, Children's Barred List clearance had been obtained prior to their first day of employment.			

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	Assessment completed before duties commenced which is: <ul style="list-style-type: none"> Signed by the Head Teacher Endorsed by the Chair of Governors. 	A signed Risk Assessment which records the Head Teacher's decision making process and proposed actions where DBS clearance is delayed, and the Chair of Governors endorsement of this, is on file.			
10	<p>If DBS or Barred List checks identified an offence, i.e. a positive trace, was a risk assessment conducted and a formal decision made and recorded based on the relevance of the offence to the post they applied for?</p> <p>Was advice sought from the school's HR adviser where appropriate?</p>	<p>For the sample of 5 new employees, if an offence was identified as part of the clearance process OR declared in the recruitment process appropriate advice was taken and recorded</p> <p>A decision to accept the person was made by the Head Teacher/and or Chair of Governors.</p>			
11	Have employees completed and returned a Disqualification by Association declaration form? (Early Years / Reception and out of school care up to age 8 only).	For the sample of 5 new employees, completed forms were on file for all relevant staff.			
F	REFERENCES				
12	Are two written references on file for all new employees in accordance with LA policy?	For the sample of 5 new employees, two written references had been sought and a minimum of one			

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	<p>As a minimum:</p> <ul style="list-style-type: none"> • One is received before employment is confirmed. • One is from the previous employer, where a previous employer exists. • Where previous employment was in a school this should be from the Head Teacher. 	<p>obtained which met the criteria of being from the previous employer - and where this was a school, it was from the Head Teacher.</p> <p>As per Keeping Children Safe in Education, employers should not rely on open references (e.g. 'to whom it may concern').</p>			
13	<p>The information on the references corresponded to the information on the application form, i.e.:</p> <ul style="list-style-type: none"> • they were from the same referees noted on the application form • dates of employment were the same • employer details were the same. <p>If there were any discrepancies on references, these were pursued at the interviews.</p>	<p>For the sample of 5 new employees, if there were queries on references they were pursued at interview or before the person took up their post.</p>			

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G	QUALIFICATION CHECKS				
14	<p>Have copies been taken of the employee's relevant and original qualification certificates?</p> <p>Are these annotated (signed and dated) to confirm original documents were seen?</p>	For the sample of 5 new employees, annotated copies of the qualifications are held on file.			
15	<p>Checks have been completed on the DFE's Teacher Services Site to confirm that:</p> <ul style="list-style-type: none"> • Staff carrying out teaching work (including cover supervisors, teaching assistants, sports coaches etc.) are not subject to a prohibition order. • Teachers are qualified to teach. • Teachers have completed their induction period (for those who qualified post 7/5/1999). <p>An induction certificate should be held on file for new employees who qualified after 1999.</p>	For the sample of 5 new employees, evidence of Teacher Status Check being completed on the DFE's Teacher Services Site for all teaching staff.			
H	AGENCY STAFF				

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16	<p>Although the school does not recruit and employ agency staff has confirmation been sought from the agency that its staff have been fully vetted?</p> <ul style="list-style-type: none"> • DBS enhanced barred list clearance? • References? • Medical clearance? <p>Photographic images should also be supplied in order to confirm identity.</p> <p>Are regular supply staff included on the Single Central Record?</p>	<p>For the sample of 5 new employees, for any relevant employee, the school received confirmation from the agencies for all these key areas.</p> <p>Any regular supply staff are included on the Single Central Record.</p>			
17	<p>Has the employment status of any individuals changed from agency to employee?</p> <p>If so have all of these checks been undertaken in full by the school?</p>	<p>For the sample of 5 new employees, for any staff who appointed who had previously worked on an agency basis, full checks were completed when appointed at the school.</p>			
I	IDENTITY CHECKS				
18	<p>Have identity checks been completed and is appropriate evidence held on</p>	<p>For the sample of 5 new employees, evidence of identity was retained on file for all new employees.</p>			

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	<p>file? Identification checking guidelines can be found on the GOV.UK website.</p> <p>Is evidence annotated (signed and dated) to confirm original documents were seen?</p>				
J	RIGHT TO WORK IN THE UK				
19	<p>Has the person's right to work in the UK been verified? (see: https://www.gov.uk/check-job-applicant-right-to-work)</p> <p>Is evidence annotated to confirm original documents were seen?</p>	<p>For the sample of 5 new employees, there is evidence that the appropriate checks were completed to confirm they were eligible to work in the UK.</p>			
20	<p>Where an individual does not have an automatic right to work in the UK:</p> <ul style="list-style-type: none"> • Has the school registered as a Sponsor with the UK Visas and Immigration (UKVI)? • Has a Certificate of Sponsorship been issued by the school? • Has the individual provided appropriate documentation to 	<p>For the sample of 5 new employees, for any relevant staff, evidence was on file from UK Visas and Immigration (UKVI) to confirm that the school has sponsor status if they are sponsoring workers from outside of the European Economic Area.</p> <p>Certificate held on file.</p>			

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	confirm their right to work in the UK and are copies of this held on file? (for some this may be limited periods, or limited jobs or hours)	Evidence of right to work in the UK is held on file.			
K	MEDICAL CLEARANCE				
21	Has the school checked that employees have received medical clearance before they take up their post?	For the sample of 5 new employees, medical clearance is held on file.			
L	SINGLE CENTRAL RECORD				
22	<p>Is a central log of pre-employment checks including DBS clearance maintained?</p> <p>The Single Central Record should cover all staff, and record as a minimum whether the following checks have been carried out/certificates obtained and the date on which this was done:</p> <ul style="list-style-type: none"> • An identity check; • A barred list check; • An enhanced DBS check; 	<p>For all staff, the Single Central Record records dates of:</p> <ul style="list-style-type: none"> • An identity check; • A barred list check; • An enhanced DBS check; • For staff carrying out teaching work, a prohibition from teaching check; • Further checks on people living or working outside the UK (check with your HR Adviser if they have lived or worked outside the UK in the past 5 years); • A check of professional qualifications; and 			

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	<ul style="list-style-type: none"> For staff carrying out teaching work, a prohibition from teaching check; Further checks on people living or working outside the UK; A check of professional qualifications; and A check to establish the person's right to work in the UK. In relevant settings only the Childcare Disqualification requirements check Checks on regular supply staff <p>The Head Teacher / a Governor should periodically (ideally termly) review the SCR for completeness and accuracy.</p>	<ul style="list-style-type: none"> A check to establish the person's right to work in the UK. In relevant settings only the Childcare Disqualification requirements check <p>The date on which the relevant check was carried out should also be recorded in the Single Central Record, including initials of the person who carried out the check.</p> <p>A management check on the SCR is undertaken and evidenced periodically (ideally termly) by the Head Teacher / Governor, and this is reported to the Governing Body, along with the findings of the review.</p> <p>N.B. This is the minimum required in a Single Central Record for Safer Recruitment purposes; best practice would be to have more information in your SCR.</p>			
M	INDUCTION PROCESS				

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23	<p>Is there a formal, documented induction process which includes priority areas such as:</p> <ul style="list-style-type: none"> • Safeguarding Policy • Safeguarding Training • Whistleblowing Policy • Health and Safety • Acceptable Use Policy <p>And which is fully completed and signed off by the employer and the employee?</p>	<p>Documented induction process checklist should include Safeguarding, Whistleblowing, Health and Safety, Acceptable Use.</p> <p>For the sample of 5 new employees, the induction documentation was fully completed and signed off by both the employer and the employee.</p>			
24	<p>Have all staff (teaching and non-teaching) read Part 1 of Keeping Children Safe In Education (2016) document and the Guidance for Safer Working Practice?</p>	<p>A signed checklist is on file to confirm that all staff have read this document.</p>			