

DBS and Vetting

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1.0 Policy statement

- 1.1 Dixons Academies Trust is committed to fulfilling its duty to protect children and young people by ensuring the highest integrity of those appointed. It does this, in part, through a series of vetting checks on appointment to a role with our trust.
- 1.2 This policy and procedure document applies, on appointment, to all employees, volunteers and governors.
- 1.3 The principles of the policy will also be applied to agency staff, self-employed individuals engaged by our trust, individuals employed by any contractors / sub-contractors (where the contract agreement specifies the requirement for a DBS check) and appropriate staff in organisations that are providing long term work placements for children and young people. In such cases, organisations are required to either adopt this policy or produce their own policy which aligns with the general principles of this policy.
- 1.4 Whilst our trust is also committed to the elimination of discrimination and to equal treatment in employment of ex-offenders (see Safer Recruitment and Selection Policy), this is subject to our overriding duty to protect children and young people.

2.0 Scope and purpose

- 2.1 The purpose of this policy is to ensure a robust approach to child protection where we never assume that 'it can never happen here' (see Child Protection Safeguarding Policy).
- 2.2 This policy applies to everyone working at all levels and grades in our trust; including governors, principals, senior leaders, employees, trainees, part-time and fixed-term employees, volunteers, casual workers and agency staff (collectively referred to as employees in this policy). We also check the credentials of all consultants and contractors who, unless they can provide evidence that suitable checks have been undertaken by their employer, will never be allowed access to children without supervision.

3.0 The legislation

- 3.1 The duties imposed by section 175 of the Education Act 2002, make explicit the responsibility of multi academy trusts and local governing bodies for safeguarding and promoting the welfare of children as part of fulfilling their common law duty of care towards the children for whom their organisation or establishment is responsible.
- 3.2 The requirements, under the intended School Staffing (England) (Amendment) (No 2) Regulations 2006, are that each academy in our trust must:
 - keep a 'single central record' detailing a range of checks carried out on their staff
 - ensure that for overseas applicants, or applicants who have spent a significant period of time overseas prior to appointment, sufficient checks are made in the countries they were residing in, to establish suitability to work with children and young people. Whilst the regulations do not specify any criteria to trigger these checks, in our trust we will, as a minimum, undertake these checks all new appointments who have lived outside the United Kingdom for more than three months in the 10 years before appointment
 - satisfy themselves that supply staff and third-party contractors have undergone the necessary checks to assess their suitability for the post; identity checks must be carried out on all appointments to the academy workforce before the appointment is made
- 3.3 In addition to those employed by our trust, this document outlines the single central record requirements for different types of visitors to our academies.
- 3.4 For employees who work in childcare provision, or who are directly concerned with the management of such provision, the academy will ensure the appropriate checks are carried out to confirm the individuals are not disqualified under the Childcare (Disqualification) Regulations 2018.

4.0 The role of our trust board and executive

- 4.1 Our trust board is accountable for ensuring its establishments have effective policies and procedures in place in accordance with this guidance. Our trust executive, through the relevant executive director, is responsible for monitoring each academy's compliance with them.

5.0 Principal

- 5.1 In each academy the principal is responsible for ensuring the policies and procedures adopted by our trust are fully implemented and followed by all staff.
- 5.2 The provisions of this policy are equally applicable to the activities of central trust teams and references to academies should also read as applied to the trust shared services team. Our trust HR team will work together with our trust governance team to support academies to fulfil the responsibilities outlined within this policy.

6.0 Activities before / after school

- 6.1 Where services or activities are provided directly under the supervision or management of academy employees, the arrangements for safeguarding and child protection apply.



6.2 Where services or activities are provided separately by another body, each academy should seek assurance that the body concerned has appropriate policies and procedures in place to safeguarding children (child protection and safeguarding). Evidence of these arrangements should be obtained from the body providing the provision and stored in an easily accessible place should it be needed for audit or inspection purposes.

7.0 Disclosure and Barring Service checks – on appointment

7.1 The Disclosure and Barring Service (DBS) acts as a ‘one-stop-shop’ for organisations to check police records and the ‘barred list’ (formally known as List 99). Each academy in our trust is responsible for:

- ensuring that the academy has access to an appropriate service to undertake DBS checks,
- ensuring that DBS checks are undertaken in a timely way, in accordance with this policy, and
- ensuring that the outcome of the check is recorded appropriately on the academy single central record.

7.2 Our trust will carry out a DBS check for all new appointments, in line with the table below:

| Who | Definition | Type of check |
|------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Employees who will be engaged in regulated activity | <p>As an education institution which is exclusively or mainly for the provision of full-time education to children, Dixons Academies Trust is an institution specified on the relevant legislation. Activity carried out under our aegis will, therefore, be regulated activity relating to children if it meets the definition in the relevant legislation, including that it is carried out frequently (e.g. once a week or more, or on more than 3 days in any period of 30 days).</p> <p>Note: personal care of a child because of age, disability or illness; including, help with eating, toileting, washing, bathing or dressing is always regulated activity regardless of how frequently it is carried out.</p> | An enhanced DBS check with children’s barred list check will always be obtained. |
| Unsupervised volunteers | As above | An enhanced DBS check with children’s barred list check will always be obtained. |
| Supervised volunteers | <p>Where an individual is a volunteer (e.g. carrying out activity that is unpaid) they will not be engaging in regulated activity if:</p> <ul style="list-style-type: none"> • They are being supervised by someone that is in regulated activity. • The supervision is ongoing (i.e. regular and day to day). • The supervision includes reasonable efforts in all circumstances to ensure the protection of children (this may take into account, for example, the age, number and vulnerability of the children the individual is working with and whether other individuals are involved in helping to look after the same children). | We are unable, by law, to obtain a barred list check for a supervised volunteer. We will, however, obtain an enhanced DBS check (with no barred list check) for supervised volunteers. |

7.3 DBS certificates are only issued to the applicant. Applicants should produce the certificate to the academy, or trust HR team for central appointments, when requested to do so and the disclosure number and date of the check should be recorded on the academy SCR. Applicants who refuse to provide their DBS disclosure when asked will not be able to start work and the conditional offer of employment will be withdrawn on this basis.

7.4 Where a disclosure contains adverse information, the academy should undertake a suitable risk assessment (Appendix 1) in deciding whether it is appropriate for an employee or volunteer to commence work at an academy.

- 7.5 Where a disclosure contains no adverse information then copies should not be retained by an academy or our trust. Copies may be retained where the disclosure contains adverse information but must not be held for longer than is necessary to complete the risk assessment process and to make a final decision on the suitability of the applicant to work for our trust. Copies must, at all times, be stored and handled in line with the General Data Protection Regulation 2018.

8.0 Disclosure and Barring Service Checks – existing staff

- 8.1 Our trust is not required to routinely ‘re-check’ individuals by obtaining periodic repeat DBS disclosures. A new check will be carried out, however, in the following circumstances:
- the level of contact with children or young people has increased significantly from their time of appointment
 - they are appointed to a senior leadership post (principal, vice principal, shared services functional lead or member of the trust executive / trust board) and they have not been subject to an enhanced DBS check in the three months before appointment
 - they are appointed to a Designated Safeguarding Lead post and they have not been subject to an enhanced DBS check in the three months before appointment
 - concerns about their suitability to work with children or young people are raised
- 8.2. Employees are required to declare any cautions, convictions or reprimands (including judgements or investigations pending) that they receive during the course of their employment. The relevance of such disclosures will be considered. Staff must be trained on their duty to disclose relevant offences and / or relationships and associations, both within and outside of the workplace (including online) which may have implications for the safeguarding of children in the academy. Failure to disclose a change could be grounds for action under the disciplinary procedure (see Disciplinary Procedure).
- 8.3. Where an individual discloses to a line manager that a new disclosure is likely to contain new / additional adverse information this should be reported to the principal. The principal, in discussion with the trust HR team, should then make a decision on what action is necessary, including requesting a new DBS disclosure if appropriate.
- 8.4. Where a new DBS disclosure is requested and obtained, refusal to produce the certificate could be considered gross misconduct under the disciplinary procedure, advice should be sought from the trust HR team on how to proceed.

9.0 Checks on staff from overseas

- 9.1 Dixons Academies Trust welcomes the diversity that comes from employing individuals from a range of backgrounds and nationalities. When appointing a non-British national to a post, academies must ensure that they have confirmation of each individual’s right to work in the UK and this information should be included on the single central record; this would normally be through the provision of a ‘sharecode’ by the prospective employee which will enable use of the UK governments online checking system.
- 9.2 DBS checks will not generally show offences committed by individuals whilst living abroad (except in the case of service personnel and their families). Therefore, in addition to an enhanced DBS with barred list check, additional checks such as obtaining certificates of good conduct from relevant embassies or police forces are necessary. The level of information contained in these certificates varies from country to country: some are complete extracts from the criminal record, others are partial. Extra care should, therefore, be taken in ensuring that references are taken up and that other background checks are conducted.
- 9.3 Further guidance on overseas appointments Further information about the criminal record information which may be obtained from overseas police forces and countries is available from the DBS at www.homeoffice.gov.uk/agencies-public-bodies/dbs.

10.0 Disclosure portability

- 10.1 **Portability between organisations.** The ‘DBS Update Service’ allows applicants to keep show that their DBS disclosure is up to date and to take it with them from role to role, providing the same type and level of check is required. Applicants or volunteers should be asked if they have subscribed to this service, if they have they can provide our trust with the original disclosure, which can then be verified through an online portal. If the online check indicates that there have been changes since the disclosure was issued the academy should undertake its own new check. There is a cost to registering for the update service, which should be funded by individuals.
- 10.2 **Moving jobs within our trust.** A new check is not required where an employee already working within the trust is being considered for another position within our trust subject to the exceptions in 8.1.

11.0 Posts subject to criminal record checks

- 11.1 **Employees.** All individuals will be subject to an enhanced DBS check on appointment to a post with our trust, where the individual is going to be involved in regulated activity there will also be a check against the barred list. Individuals involved in the management of a school, whether in a teaching post or not, will also undergo a check to ensure they have not been prohibited from participating in the management of an independent school, in line with section 128 of the Education and Skills Act 1008 (a ‘Section 128 check’).
- 11.2 **Designated safeguarding lead.** Any individual, including an existing member of staff, taking up this post will be subject to an enhanced DBS check. The only exception to this is in the case of existing employees within our trust who have been subject to a DBS check in the previous 3 months.



- 11.3 **Governors.** All governors will be subject to an enhanced DBS certificate without a barred list check as part of the appointment process for governors. An enhanced DBS certificate with a barred list check will be requested if a governor, volunteer governor or other volunteer is engaging in regulated activity. Governors will also undergo a Section 128 check.
- 11.4 **School exchange host families.** In line with 'Keeping Children Safe in Education' all host families in the UK should be DBS checked, where the host family home is outside of the UK an equivalent level of checking should be undertaken. All exchanges will involve planning and communication with the partner school and their families regarding expectations, boundaries and methods students can use to contact a member of staff. When staying with a host family abroad, we also advise that all students carry a mobile, contact numbers and have a special 'code-word' which they could send by text in case of an emergency. Academies should request specialist advice from our Trust HR team in the event students are to be accommodate with host families during an exchange.
- 11.5 **Alternative provision.** On occasion, our academies use alternative education providers. All such providers will provide a letter to confirm that all employees are subject to enhanced DBS checks.
- 11.6 **People employed by a third party.** Where extended services are provided by a third party, there should be clear lines of accountability and responsibility for carrying out recruitment and vetting checks. All individuals should be subject to enhanced disclosures. Academies obtaining their childcare through private or voluntary sectors should use Ofsted approved providers.

12.0 Posts not subject to criminal records checks

- 12.1 People who are not required to obtain a DBS check It is not necessary to obtain a DBS check for:
- staff appointed before 2002, who have continuity of service and who have not previously been DBS checked unless moving roles into posts with closer contact with children or where there are concerns about suitability to work with children. The exception to this is workers from overseas
 - public sector staff such as psychologists, nurses and dentists (because they will have been checked by their own organisations). However, the school should carefully check the identity of such staff on arrival to ensure impostors do not gain access to children
 - visitors who have business with the Principal or other staff who have brief contact with children with a member of staff present
 - visitors or contractors who come on site only to carry out emergency repairs or service equipment and who would not be expected to be left unsupervised on academy premises
 - secondary students on Key Stage 4 work experience in other schools or nursery classes
 - secondary students undertaking work in another academy as part of voluntary service, citizenship or vocational studies
 - Key Stage 5 students in connection with a short career or subject placement. In these cases, the academy placing the student should ensure that student is suitable for the placement in question
 - people who are on site before or after academy hours and when children are not present e.g. local groups hiring premises for community or leisure activities, contract cleaners etc.

13.0 Agency supply staff and third-party staff

- 13.1 **Agency checks.** Staff supplied to via an agency will be subject to checks by the agency itself, including a DBS disclosure and checks against the barred list as appropriate. Whilst we don't expect to see evidence of the individual checks conducted, the agency must provide a written statement that all appropriate checks have been completed in respect of any individual they send to work at an academy.
- 13.2 **Adverse information.** Where the agency has obtained an enhanced DBS certificate which discloses adverse information about a person they propose to send to work at an academy, a copy of the information must be shown to the academy before the person is due to begin work at the academy. The academy is then responsible for undertaking a suitable risk assessment (Appendix 1) and use this to make a decision on whether it is appropriate for the worker to commence work.
- 13.3 **Identity checking.** Agency workers must be asked to provide proof of identity when they arrive at an academy to work, this will confirm that the individual arriving at the academy is the individual that the agency intends to refer to that academy and has undertaken checks for.
- 13.4 **Portability of disclosures for agency staff.** A disclosure may be passed from:
- agency to agency
 - between Local Authorities and agencies, and
 - between academies and agencies
 - if the subject gives written consent
- 13.5 Regulations under the Police Act 1997 also authorise passing disclosure information from agencies to academies where subject's suitability for work at a trust is under consideration. If, exceptionally, the DBS check refers to the existence of information in addition to that printed on the face of the disclosure, a supply agency cannot pass this information on to an academy. In this instance, we must obtain a new disclosure ourselves prior to any work commencing.

- 13.6 **Contractors and sub-contractors.** Contracted staff who come into regular contact with children such as cleaning, caretaking and kitchen staff must be checked by the contractor in the same way as trust employees, including having an enhanced DBS with barred list check and such requirements form part of the contract. The outcome of such checks must be noted by the individual academy and be included on the single central record. The contractor is also responsible for ensuring that the same procedures are followed by any sub-contractors.
- 13.7 **Building contractors.** Children should not be permitted in areas where builders are working for health and safety reasons, so these workers should have no contact with children. However, academies should ensure that arrangements are in place with contractors, via the contract where possible, to make sure that any of the contractors' staff that come into contact with children undergo appropriate checks including an enhanced disclosure.
- 13.8 **Work experience students placed in academies.** Work experience students, placed in academies within our trust, are not required to obtain clearance from the DBS because it is not expected that they will at any time, be left unsupervised whilst working with children. Additionally, since the introduction of The Protection of Freedoms Act 2012, it is not possible to obtain an enhanced check or barred list check for anyone under the age of 16. Suitable checks should be carried out on workplaces before placing children on work experience.
- 13.9 **Teaching trainees or graduates placed in academies.** Students (on placement) or teaching graduate trainees placed in academies within our trust should have an enhanced DBS with barred list check. This will be undertaken by the initial teacher training provider so that disclosures are received prior to the trainee commencing his / her academy-based training. The details of this check should be recorded on the academy SCR.
- 13.10 **Volunteers.** The principal (or designated senior leader) should make a decision on whether the volunteer should be considered supervised or unsupervised and an appropriate DBS check (with barred list check if appropriate) should be made before the volunteers starts volunteering at the academy.
- 13.11 **Self-employed individuals undertaking work in academies.** The DBS recommends that self-employed persons should be subject to an enhanced disclosure (paid for by the individual) prior to commencing a role in circumstances where they are likely to have unsupervised access to children (e.g. music tutors). The normal vetting checks, such as identity checking, should also be conducted. Academies can obtain DBS checks for self-employed people who will be working on the premises as long as the disclosure is intended to be used to consider their suitability for undertaking a particular role. Self-employed individuals are not able to obtain their own personal checks via the DBS and would usually do so through an organisation established for this purpose.

14.0 Recruitment

- 14.1 DBS checking is a key element in the safer recruitment process but is only one aspect of ensuring that an applicant is the right person for the job role which involves being in a position of trust (see Safer Recruitment and Policy).

15.0 Commencing appointment pending disclosure

- 15.1 Safeguarding the children and young people who attend our academies should be our primary consideration when undertaking pre-employment checks on new starters and, because it can be difficult to effectively supervise a person for long periods, we should not normally start a new employee without all of our vetting checks having been completed. It will only be possible in exceptional circumstances and where the principal and relevant Regional Head of HR agree it is necessary.
- 15.2 Where a principal wishes to start someone prior to the DBS been received, they must contact their Regional Head of HR who will then support them with the risk assessment process resulting in an agreed decision. The risk assessment form is included at Appendix 2.
- 15.3 As a minimum the following requirements must be met:
- the individual has completed the criminal records disclosure on the risk assessment form (Appendix 2)
 - a risk assessment is carried out (see Appendix 2)
 - the individual can be appropriately supervised at all times
 - there are no gaps in employment that have not been explained / evidenced
 - in the case of teaching staff, their most recent employment was in a state school
 - the individual's most recent DBS can be provided and there is supporting evidence from the last employer (with no gap in service) that no safeguarding concerns have been raised.
 - in no circumstances should an individual with no DBS from their last employer and the ability to gain specific reassurance regarding suitability be allowed to start without a trust DBS
 - all other checks, including checking information that is held under Section 142 of the Education Act 2002 (the Children's Barred List), have been completed
 - the disclosure application is submitted before the individual commences work.



16.0 Retention of information

- 16.1 Information disclosed as part of a recruitment process via self-declaration, during the course of employment or as part of a DBS checking process will be treated as highly confidential. It is an offence for information in a disclosure to be passed to anyone who does not need it in the course of their duties (see GDPR Data Protection Policy).
- 16.2 Disclosure information will be managed in accordance with DBS guidance on the security and retention of disclosures and disclosure information (see www.homeoffice.gov.uk/agencies-public-bodies/dbs). The key provisions are:
- disclosures will not be retained for periods longer than necessary (normally a maximum of 6 months from the date of the disclosure)
 - disclosures will be destroyed by secure means at the end of any retention period
 - our trust will keep, where applicable, the letter / email from the DBS umbrella organisation confirming clearance of the individual
 - DBS disclosures must not be photocopied under any circumstances
- 16.3 Before a disclosure is destroyed, an entry needs to be made on the single central record detailing:
- the date the disclosure was obtained
 - who obtained the disclosure
 - the unique reference number on the disclosure certificate
- 16.4 The academy will also, if applicable, keep:
- a note of what other information was used to assess suitability
 - the letter(s) sent to the individual and the academy confirming clearance
- 16.5 In addition, where a disclosure reveals information about an individual, the record of positive check will be completed and retained on the personnel file of that individual. This record will not detail information about actual offences disclosed. These measures accord with the requirements of both the DBS and the academy single central record.

17.0 Record keeping of recruitment and vetting checks – Single Central Record

- 17.1 The Department for Education requires all academies to be able to demonstrate that they have robust and accurate records of all recruitment and vetting checks carried out. This information must be compiled into a single central record of completed checks in each individual academy within our trust.
- 17.2 People to be included on the central record include:
- all staff who are employed to work at each academy
 - all staff who are employed as supply staff in each academy, whether employed directly or through an agency
 - all others who have been chosen by academies in our trust to work in regular contact with children (governors and some volunteers)
 - people brought in to provide additional teaching, or instruction for students, but who are not staff members, such as specialist sports coaches, music tutors or artists
 - all other individuals who are brought regularly into the academy who have regular unsupervised contact with the children
- 17.3 The safer selection and recruitment policy details pre-employment vetting made in addition to the checks described in this policy. The single central record must indicate whether or not the following have been completed (details of the checks other than the DBS disclosure and barred list checks are contained within the Safer Recruitment and Selection Policy):
- identity checks
 - qualification checks for any qualifications legally required for the job e.g. those posts where a person must have QTS or NPQH
 - additionally, for those applying for teaching posts, registration check with the Teachers Regulation Agency where appropriate
 - checks of right to work in the United Kingdom
 - checks on information held under the Children's Barred List
 - checks to ensure the individual is not disqualified under the Childcare (Disqualification) Regulations 2018
 - a check to ensure the individual is not subject to a Section 128 direction if they are taking up a management position in an academy or our trust
 - DBS enhanced check and number
 - social media check
 - further overseas records checks where appropriate
 - references
- 17.4 The information needs to be recorded on the single central record by the person in the academy with responsibility for undertaking recruitment duties. The record must show the date the check was completed, or the relevant certificate obtained, and should show who carried out the check.



18.0 Review

- 18.1 This policy should be reviewed at least every two years, or sooner should there be a significant change in best practice, advice or regulation. Following review it should be submitted to our trust board for approval.



Appendix 1 - Adverse DBS disclosure checklist

| | | | |
|----------------------------------------|-------------------------------|-------------------------|--|
| Name of individual | | Post applied for | |
| Reviewing manager | | Post | |
| Date of meeting with individual | Click or tap to enter a date. | | |

Introduction

The principal should use the checklist over the page, with support from a regional head of HR, in making a decision on whether to employ / to continue to employ an individual where adverse information is disclosed on a DBS disclosure certificate. They should offer the individual the opportunity to meet to discuss the contents of the disclosure in order to give context and assist decision making.

Adverse information may be in the form of cautions, warnings or convictions which may be spent or unspent. Enhanced disclosure checks will also show other police information which will be relevant and need to be considered. If an academy knows, or has reason to believe, that an individual is barred it commits an offence if it allows the individual to carry out any form of regulated activity.

Record of decision made

| | |
|-----------------------------------------|----------------------------------|
| Overall assessment of risk | Choose an item. |
| Decision based on risk | Choose an item. |
| Comments | Click or tap here to enter text. |
| Control measures required | Click or tap here to enter text. |
| Review required (if appropriate) | Click or tap to enter a date. |
| Signature of reviewing manager | |
| Date | Click or tap to enter a date. |
| Regional head of HR comments | Click or tap here to enter text. |
| Regional head of HR name | Click or tap here to enter text. |
| Regional head of HR signature | |
| Date | Click or tap to enter a date. |



Checklist

| Question | Guidance | Answer | Comments |
|-------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|----------------------------------|
| Is the individual on the barred list? | If yes the appointment is automatically unlawful and they must not be appointed to the role. | Choose an item. | Click or tap here to enter text. |
| Is the information disclosed relevant to the position to be held / held? | Consider the impact of the nature of the offence on the post | Choose an item. | Click or tap here to enter text. |
| How serious do you consider the offence/s to be? | Do you judge the offence to be a major, moderate or minor offence? | Choose an item. | Click or tap here to enter text. |
| When did the offence occur | Within the last year, last 3 years, 5 years etc... Has there been long enough since the offence to reach a conclusion on the likelihood of reoffending? | Click or tap here to enter text. | Click or tap here to enter text. |
| How old was the individual when the offence occurred? | Where they a child / adolescent at the time? Is age / time of life likely to have impacted decision making? | Click or tap here to enter text. | Click or tap here to enter text. |
| What is their age now? | | Click or tap here to enter text. | Click or tap here to enter text. |
| What were the circumstances of the individual at the time of offence, and what changes have occurred since the offence? | Consider the explanation and whether circumstances have changed – does this have an impact? | Click or tap here to enter text. | Click or tap here to enter text. |
| Is there a pattern to offending? | Are the offences repeated? Frequent repetition of offences could indicate a higher chance of re-offending | Choose an item. | Click or tap here to enter text. |
| Does the role allow the possibility of re-offending? | Are there any part so the role that, based on the conversation with the individual, would create a temptation / risk to re-offending? | Choose an item. | Click or tap here to enter text. |
| What supervision will the individual have / need? | Consider how their performance and conduct will be monitored. Are their additional risks or will additional supervision be needed? | Click or tap here to enter text. | Click or tap here to enter text. |
| Does the role involve responsibility for finance or management of other resources? | This will be relevant where the offence related to fraud or theft for example | Choose an item. | Click or tap here to enter text. |
| Any other matters to consider? | Click or tap here to enter text. | | |



Appendix 2 – Risk Assessment – DBS disclosure not received before starting

| | | | | |
|----------------------------------------------------------------------------------|----------------------------------------------------------------|------------------|----------------------------------------------------------------------------------------|----------------------------------|
| Name of individual | | Post applied for | | |
| Person completing Risk Assessment | | Post | | |
| Reasons for considering commencement of employment prior to receiving clearance: | Consequences (to service delivery) of waiting for clearance: | | Level of access during 'waiting period' (include level of access on own with children) | |
| Click or tap here to enter text. | Click or tap here to enter text. | | Click or tap here to enter text. | |
| Notes from discussion with most recent employer (did they have any concerns): | Pre employment checklist: | | Previous DBS clearance and positive disclosures: | |
| | Has the employee left employment? | Choose an item. | Is a previous disclosure certificate available? | Choose an item. |
| Click or tap here to enter text. | Asylum and immigration check completed? | Choose an item. | If yes, has it been seen by you? | Choose an item. |
| | DBS application form completed? | Choose an item. | What is its date? | Click or tap to enter a date. |
| | Qualifications verified? | Choose an item. | Disclosure number | Click or tap here to enter text. |
| | List 99 / Bared list check completed? | Choose an item. | Which barred list was checked? | Click or tap here to enter text. |
| Click or tap here to enter text. | Two references satisfactorily obtained? | Choose an item. | Positive disclosure on previous DBS? | Choose an item. |
| | Satisfied with general background / employment history checks? | Choose an item. | If yes, is it relevant to post / risk of harm? | Choose an item. |
| | Declared convictions spent / unspent on app form? | Choose an item. | Comments: Click or tap here to enter text. | |
| | Declared convictions spent / unspent at interview? | Choose an item. | | |



Prospective employee declaration

The information I have provided during this risk assessment is a true and accurate record. By signing, I am confirming that I have no reason to believe that any information, other than that already provided, will be disclosed on the disclosure certificate issued by the Criminal Records Bureau.

| | |
|------------------------------------------|-------------------------------|
| Prospective employee name | Choose an item. |
| Post | Choose an item. |
| Signature of prospective employee | |
| Date | Click or tap to enter a date. |

Assessment of risk

Following the assessment detailed overleaf, I have assessed the risk to be Choose an item.. I have sought the advice of a regional head of HR and our agreed decision is:

- The prospective employee will not commence work prior to satisfactory clearances.
- The prospective employee may commence work with the identified control measures. I undertake to personally review the situation at intervals of no less than every two weeks.

Principal

| | |
|------------------|-------------------------------|
| Name | Choose an item. |
| Signature | |
| Date | Click or tap to enter a date. |

Regional Head of HR

| | |
|------------------------------------------|-------------------------------|
| Name | Choose an item. |
| Signature of prospective employee | |
| Date | Click or tap to enter a date. |

Reviews undertaken

| Date | Details / Outcome of review | Next review due |
|-------------|------------------------------------|------------------------|
| | | |
| | | |
| | | |
| | | |
| | | |

