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**Single Central Record Guidance – Academies, Independent and Free Schools**

**Updated April 2021**

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| --- | --- | --- |
|  | **Contents** | **Page** |
| 1. | [Introduction](#Introduction) | 2 |
| 2. | [How should the Single Central Record be stored?](#How) | 2 |
| 3. | [Who must be on the Single Central Record?](#Who) | 3 |
| 4. | [Who does not need to be on the SCR?](#Not) | 3 |
| 5. | [What information should the SCR contain?](#contain) | 4 |
| 6. | [Barred List check](#Barred) | 4 |
| 7. | [TRA/ Prohibition from Teaching Check](#TRA) | 5 |
| 8. | [What evidence must be seen and retained?](#Evidence) | 5 |
| 9. | [Checks on Proprietors, Members, Trustees and Governors](#Members) | 6 |
| 10. | [Checks on agency supply staff](#Agency) | 7 |
| 11. | [Checks on staff employed by other organisations](#Other) | 7 |
| 12. | [Checks on Contractors](#contractors2) | 8 |
| 13. | [Checks on Freelance Tutors and Coaches](#Freelance) | 8 |
| 14. | [Checks on Volunteers](#Volunteers) | 9 |
| 15. | [Ofsted Inspections and the SCR](#Ofsted) | 9 |
| 16. | [A few DBS reminders](#DBS)  *Rechecking*  *Portability and the Update Service* | 10  10  10 |
| 17. | [Good practice recommendations for the SCR](#good) | 12 |
| 18. | [Monitoring the Single Central Record](#Monitoring) | 13 |
| 19. | [Alternative provision](#alternative) | 13 |
| 20. | [School transport](#Transport) | 13 |
|  | [Appendix 1](#Appendix1) – Template Email for Third Party Employers |  |
|  | [Appendix 2](#Appendix2) - Risk Assessment Decision Sheet |  |
|  | [Appendix 3](#Appendix3) – Employee Personnel File Checklist |  |
|  | [Appendix 4](#Appendix4) – Risk Assessment for Volunteers |  |
|  |  |  |
|  |  |  |

**1.** **Introduction**

The DfE Statutory Guidance for Schools and Colleges, ‘Keeping Children Safe in Education’, requires all schools to produce and maintain a Single Central Record of Recruitment and Vetting Checks (SCR), also referred to as ‘the Register’. This requirement has been in place since 2007.

This guidance document applies to Independent Schools, Academies and Free Schools. Separate guidance has been produced for maintained schools which is available on [CYPSInfo](https://cyps.northyorks.gov.uk/hr-safeguarding).

**2.** **How should the Single Central Record be stored?**

There is no defined format for the Single Central Record. It is a matter for each school to determine whether the Single Central Record is held manually or in electronic form provided that it is accessible on each school site.

Keeping Children Safe in Education states additional information for MATs:

*169. Multi Academy Trusts (MATs) must maintain the single central record detailing checks carried out in each academy within the MAT. Whilst there is no requirement for the MAT to maintain an individual record for each academy, the information should be recorded in such a way that allows for details for each individual academy to be provided separately, and without delay, to those entitled to inspect that information, including by inspectors.*

Most schools will hold the Single Central Record in electronic form as an Excel document. Early versions of the NYHR templates were in Word format and schools specifically asked us not to make significant changes to our templates over the last few years. However, it is accepted that Excel spreadsheets are better suited for managing and maintaining your SCR and it now feels appropriate to offer an Excel template.

MATs may maintain a single SCR or individual SCRs for each Academy. For MAT’s who choose to have a single SCR, holding information relating to individual Academies on separate tabs within a single SCR held on an Excel spreadsheet will enable this information to be provided separately.

Where Trusts have staff who work across a number of schools within their MAT (e.g. CEO, CFO, etc.) then these employees should be included when the SCR information for an individual academy is provided.

Fields on the SCR should not be left empty: if a check is not applicable to a particular individual then “n/a” should be inserted in the cell.

Our example template(s) can be found on the [CYPS website](http://cyps.northyorks.gov.uk/) under the safeguarding tab.

**3.** **Who must be on the Single Central Record?**

All schools must keep and maintain a paper or electronic record of the checks which have been carried out on:

* All staff employed by the school/Trust
* All members of the proprietor body including members and trustees of an Academy Trust (see section 8)
* Supply staff employed by the school/Trust
* Supply staff engaged through an agency (see section 9)
* Staff employed by other employers to work in individual schools on a regular basis e.g. outsourced catering and cleaning staff, peripatetic music service staff, etc.

Whilst not statutorily required, we would recommend that others who have regular contact with children at the school who meets the definition of Regulated Activity (see page 35 [Keeping Children Safe in Education 2020](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/954314/Keeping_children_safe_in_education_2020_-_Update_-_January_2021.pdf) (updated 2021))are included on the SCR, including:

* + Volunteers (see section 14 below)
  + Trainee teachers\*
  + Third Party Staff brought into school to provide additional instruction to pupils e.g. sports coaches, artists, musicians etc.
  + ‘Contractors’ (see section 12 below)

\* Trainee teachers directly employed by a school/Trust must be cleared in the same way as other employees. Where trainee teachers are placed by a training provider, it is the responsibility of Initial Teacher Training providers to carry out the necessary checks and for schools/Trusts to obtain written confirmation and record that these have been carried out. Only directly employed trainees must be recorded on the SCR. It is not a statutory requirement for fee-funded students to be included, however schools/Trusts may decide to include them.

People should be removed from the SCR when they have left employment or ceased to come into a school or academy – however, they must be placed back on the list if they return. Where individuals return it would be necessary for the school/Trust to re-complete checks as required. The SCR should be a “live” record at all times.

**4.** **Who does not need to be on the SCR?**

People working on a truly ad hoc basis in a school or academy, will not usually be required to be entered on the SCR as they are not there on a frequent basis. Although, such staff may still meet the definition of Regulated Activity on account of the type of work they are undertaking or their attendance at a number of school sites during the course of their work. In these cases, such people will be subject to a DBS check from their employer and you would seek confirmation from their employer that this was in place.

Visitors, for example, children’s relatives or other visitors to the Headteacher do not require a DBS clearance. Headteachers and Principals should use their professional judgement about the need to escort or supervise visitors. They do not need to be entered onto the SCR.

**5.** **What information should the SCR contain?**

The SCR must include the statutory information detailed below. These are the checks which must be completed (if applicable) for all staff. Not every check is applicable for each category of staff and this is highlighted where relevant e.g. Teaching Regulation Agency (TRA) Prohibited List for Teachers check is not applicable for administration staff.

* **Identity** – see section 8 below on the documents which can be used to confirm identity
* **Children’s Barred List check** for those working in regulated activity. (Please note this is a separate check to the DBS, even though they are carried out at the same time, and must have a separate entry on the SCR – see section 6 below)
* **TRA Prohibition from Teaching check** (for those undertaking teaching work).
* **Enhanced DBS Disclosure** for work with children
* **Right to work in the UK**
* **Overseas checks** including a Certificate of Good Conduct and Letter of Professional Standing (teachers only) for people who have lived or worked outside the UK
* A check of **professional qualifications** relevant to teaching e.g. QTS, NPQH
* **Section 128 check** for those in a management position\*

\* For the purpose of the section 128 check, this would include proprietors, trustees, members and governors (see section 9) and those working in a management position including all senior leaders plus those in middle leadership positions such as heads of departments.

The SCR must indicate whether particular checks are complete and **when each check was carried out**. It is no longer a requirement to record the name of the person making the checks but we advise still recording their initials.

Whilst the information provided above is the statutory minimum which must be recorded, schools may choose to also include the following on their SCR:

* Receipt of references
* Medical clearance
* Teacher Reference Number
* Disqualification check under the Childcare Act 2006 (see 17 (b) below)

**6.** **Barred List check**

A check of the children’s barred list can only be undertaken for those individuals working within regulated activity (see page 35 [Keeping Children Safe in Education 2020](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/954314/Keeping_children_safe_in_education_2020_-_Update_-_January_2021.pdf) (updated 2021)). Those not working in regulated activity would include supervised volunteers and governors and it is unlawful to undertake a barred list check for someone working in these capacities.

A barred list check will usually be requested as part of an enhanced DBS application and the outcome will be shown on the DBS certificate issued to the applicant.

A separate barred list check can also be undertaken through the ‘Teacher Services’ online system provided by the DfE and can be accessed through the [DfE Sign-in portal](https://services.signin.education.gov.uk/).

It is a statutory requirement that a barred list check is undertaken prior to the commencement of employment within a school. However, depending on a school or Trust’s DBS policy, they may allow an employee to commence prior to the return of their DBS or where they have accepted portability. In these cases, the school/Trust **must** undertake a separate barred list check prior to the employee’s commencement and this must be recorded on their SCR.

**7.** **TRA/Prohibition from Teaching Check (Formally NCTL check)**

Schools/Trusts must undertake a Teaching Regulation Agency (TRA) Prohibition from Teaching check for anyone doing “teaching work”.

This will include all teaching staff but may also include other staff, for example, HLTAs. Teaching is defined as:

1. planning and preparing lessons and courses for pupils,
2. delivering lessons to pupils,
3. assessing the development, progress and attainment of pupils; and
4. reporting on the development, progress and attainment of pupils,

This does not include work done under the direction of a teacher.

The TRA check can be undertaken through the ‘Teacher Services’ online system provided by the DfE. This should also be used before a teacher is appointed to ensure that they have the award of QTS, have completed the teacher induction process (if applicable) and that they are not subject to any prohibitions, sanctions or restrictions. Teacher Services can be accessed through the [DfE Sign-in portal](https://services.signin.education.gov.uk/). For further guidance about the check and how to check it please visit <https://www.gov.uk/guidance/teacher-status-checks-information-for-employers>

The same site can be used to carry out a Section 128 check and a separate barred list check.

**8.** **What evidence must be seen and retained?**

Keeping Children Safe in Education states that a copy of the documents used to verify a successful candidate’s identity, right to work and required qualifications should be kept on the confidential personnel file.

The documents acceptable for the verification of identity may be different, depending on which check is being undertaken, as follows:

* **DBS**: <https://www.gov.uk/government/publications/dbs-identity-checking-guidelines>
* **Right to work in the UK**: <https://www.gov.uk/legal-right-work-uk>

When checking qualifications, schools/Trusts should request and check original documents. Information regarding initial teaching training qualifications, award of QTS and completion of statutory induction is recorded on ‘Teacher Services’ available through the [DfE Sign-in portal](https://services.signin.education.gov.uk/) and can be used as additional assurance around qualifications but should not replace the checking of original qualification documents.

**9.** **Checks on Proprietors, Members, Trustees and Governors**

It is a requirement for the proprietor of an independent school to undergo a range of checks before taking up their position and these should be recorded in the Single Central Record. The proprietor may be an individual or, in an academy or free school, will be the chair of the Academy Trust.

In such cases, the Secretary of State for Education will:

* carry out an enhanced DBS check; and obtain an enhanced DBS certificate where applicable (either including or not including barred list information as appropriate)
* Confirm the individual’s identity; and
* If the individual lives or has lived outside of the UK, where making an enhanced check is insufficient, such other checks as the Secretary of State considers appropriate

The requirement for an enhanced DBS check and certificate is disapplied for the chair of an Academy Trust if the academy is converting from a maintained school and the person has already been subject to a check carried out by the local authority.

There is also a requirement to ensure that the proprietor is not subject to a section 128 direction which would prevent them from taking part in the management of an independent school (including academies and free schools). A check for a section 128 direction can be carried out using the ‘Teacher Services’ website (see section 7 above).

Where the proprietor is a body of people, the chair must ensure that other members of the body have the following checks and that these are recorded in the Single Central Record:

* An enhanced DBS check (including barred list only if working in regulated activity)
* Identity checks
* a section 128 check
* additional checks, as the chair considers appropriate, by reason of the individual’s living or having lived overseas

Depending on the school/Trusts constitution, this requirement will include:

* all members of an Academy Trust
* Individual charity trustees
* The chair of the board of charity trustees
* Any individual or committee to which an Academy Trust delegates responsibility (including a local governing body)

**10.** **Checks on agency supply staff**

It is the agency’s responsibility to comply with safer recruitment requirements and carry out the checks listed in Section 5 above and in addition to undertake pre-employment medical checks (where appropriate). However, agencies cannot apply for visas – the school/Trust will need to do that, if required.

Whilst responsibility for undertaking checks sits with the agency, a school/academy using agency supply staff must:

* receive written confirmation, from the agency, that all the necessary checks have been satisfactorily completed, including an enhanced DBS, a check of the Children’s Barred List and TRA Prohibition from Teaching list (teachers only) to ensure the person supplied is not subject to a prohibition order or interim prohibition order and any overseas checks if relevant. This must be recorded on the Single Central Record. A template email, for schools/academies to send to other employers can be found in [Appendix 1](#Appendix1).
* carry out its own identity checks to verify that the person who presents for work is the person the agency has referred.

Most agencies will provide a confirmation sheet when a supply teacher is booked and prior to their commencement. This will contain details of all the pre-employment checks which have been completed and includes a photo of the teacher to aid confirmation of identity when they attend the school/academy. Where a photo has not been provided in advance, the school/academy should request photographic evidence of identity from the supply teacher when they arrive at school. This will usually be a passport, driving licence or agency ID badge.

It is recommended that a copy of the confirmation sheet and the documents used to confirm identity are retained at least until the placement has ended. These documents should be stored on a confidential basis the same as other staff information.

**11.** **Checks on staff employed by other organisations**

For staff working in school on a regular basis (see 3 above) the school/ Trust must:

* receive written confirmation, from the appropriate Service manager, that all the necessary statutory checks have been satisfactorily completed including an enhanced DBS, a check of the Children’s Barred List and TRA Prohibition of Teaching list (where appropriate) to ensure the person supplied is not subject to a prohibition order or interim prohibition order. We recommend that this confirmation should be recorded on the Single Central Record
* carry out its own identity checks to verify that the person who presents for work is the person the Service has referred (an official photo ID badge or other photographic ID will suffice)

**Arrangements for NYCC staff -** Where centrally employed staff visit educational settings regularly, NYCC will ensure that staff, who meet the definition of Regulated Activity, on account of their regularity of visiting various schools / settings and academies, will be subject to DBS clearance with barred list check. This includes the following staff groups: Relationship Managers, School Improvement Advisers, Health and Safety Advisers and HR Advisers. Such staff, who are only in an individual school/academy on an ad hoc basis are not required to be on the SCR.Centrally

Please note this does not mean that all NYCC staff are DBS cleared and it is the school’s/Trust’s responsibility to ensure appropriate supervision arrangements are in place.

**12.** **Checks on Contractors**

Contractors working on site will not normally have access to children nor need to be included on the SCR, but if they do then the appropriate checks need to be made or confirmed through their employer.

If contractors meet the definition of regulated activity in a particular school or across a Trust (they are present on site, with access to children, on a weekly basis or on more than 3 days in a 30 day period or overnight), then and the school/Trust will need written confirmation from their employer that the relevant checks have been undertaken. In these cases, we recommend they should be recorded on the SCR.

who

**NYCC** **approved contractors** that meet the definition of Regulated Activity, will have an enhanced DBS, and barred list check. Schools and Trusts can be assured that such requirements will be incorporated into the contractual arrangements.

**13.** **Checks on Freelance Tutors and Coaches**

Tutors and coaches who will have regular access to children (e.g. freelance music teachers or sports coaches provided by a football club, other self-employed persons) will need appropriate checks and we recommend that they be placed on the SCR. Where these individuals are self-employed they may not be able to obtain a DBS check for themselves. In these cases, the school/Trust may undertake the check on the individual’s behalf but may wish to agree that the individual reimburses the school/Trust for the cost of this.

It is important for schools and Trust to ensure the correct employment status for such people is applied by oversight of business registration documents, insurance cover and that clear contractual documentation is in place to show that services are being provided on a genuine self-employed basis. Information regarding IR35 requirements is available on [CYPSInfo](https://cyps.northyorks.gov.uk/hr-advice-academies).

**14.** **Checks on Volunteers**

Whether DBS checks are required on volunteers depends on their level of access to children and should be subject to a risk assessment. A template risk assessment is available at [appendix 4](#Appendix4). Those meeting the definition of Regulated Activity require an Enhanced DBS check including a barred list check. The definition of Regulated Activity specifically excludes supervised volunteers.

However, for supervised volunteers who enter school/academy premises and have the opportunity for contact with children, there is the ability to undertake an Enhanced DBS check (without barred list check), although there is no legal requirement to do so. Therefore, a risk-assessed approach should be made and documented.

To qualify for a free DBS check a volunteer must meet the DBS definition of volunteer, which is someone who spends unpaid time doing something of benefit to others.

Someone undertaking work experience does not qualify for a free DBS check as this is for their own benefit. In such situations, schools and Trusts may ask the individual to reimburse the school for the cost of their DBS as a condition of the placement.

Where volunteers are working regularly in school on an ongoing basis, we recommend that schools also undertake checks in line with safer recruitment principles e.g. take up references, ask for employment and education history, etc.

Whilst there is no statutory requirement to include volunteers on the Single Central Record, Ofsted would expect to see them included (see Ofsted guidance: [Inspecting safeguarding in early years, education and skills](https://www.gov.uk/government/publications/inspecting-safeguarding-in-early-years-education-and-skills/inspecting-safeguarding-in-early-years-education-and-skills" \l "introduction)). Therefore, we strongly recommend that schools/Trust include volunteers in the SCR.

**15.** **Ofsted Inspections and the SCR**

Ofsted expects schools and Trusts to be able to demonstrate that they meet all regulations and duties for the purposes of the safeguarding judgement under leadership and management in the School Inspection Handbook.  Inspectors will check the Single Central Record early in the inspection (it is required to be available by 8am on the first day of the inspection) with the expectation that it will be complete and meet statutory requirements. Inspectors will also consider how it contributes to the overall evaluation of the safeguarding culture that has been established in the school or academy.

However, if there is a minor administrative error, such as the absence of a date on the record, and this can be easily rectified before the final team meeting, schools and academies will be given the chance to resolve the issue.

Ofsted has established a definition for ‘administrative errors’ in relation to the single central record (see below). No allowance will be made, for example, for breaches to the requirement to have an enhanced DBS.

Administrative errors may be defined as follows:

* Failure to record one or two dates
* Individual entries that are illegible (usually only relevant to SCRs not held electronically)
* One or two omissions where it is clear that the information is already held by the school/Trust but has failed to transfer over the information in full to the single central record.

The School Inspection Handbook can be accessed [here](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/843108/School_inspection_handbook_-_section_5.pdf).

When Ofsted attend for an inspection, schools/academies should check their official Ofsted ID badge, but do not need to carry out any further checks on Inspectors or enter them into the Single Central Record.

Ofsted’s own safeguarding policy confirms that safe recruitment checks are undertaken on everyone who works for them and that all inspectors are subject to an enhanced DBS check and are required to register with the Update Service. Section 10 of the Education Act 2005 gives inspectors a power of entry to a school to conduct an inspection and, as they are there to discharge a statutory function under the Act, their Ofsted DBS is sufficient.

However, if the school or Trust has in place a specific security policy, for example requiring all non-staff to wear a visitor’s badge, then it is important to follow this with Ofsted inspectors.

**16.** **A few DBS reminders…**

1. **How often are re-checks required?**

There is no statutory requirement to carry out a recheck.

Schools and Trusts should consider and agree their own policy on whether DBS rechecks are required and, if they are, the frequency of these. Where schools or Trusts consider themselves to have ‘high risk’ rolesfor example in Residential or Special Schools they may wish to have a tighter regime on some or all roles.

1. **Portability of DBS Clearances and the Update Service**

This generally states that there is no requirement to obtain an enhanced DBS certificate if, during a period which ended not more than three months before the person’s appointment, the applicant has worked in a school in England. However, there is still a requirement for the school/Trust to undertake all other pre-employment checks, including a barred list check where the individual is engaging in regulated activity.

Schools and Trusts should determine and agree their own policies around portability taking into account their safeguarding responsibilities. The recommended, and common, practice in this area is to obtain a new enhanced DBS certificate for all new employees joining the school/Trust.

Where an individual has registered with the DBS Update Service it makes sense to take advantage of the ability to access the information more quickly and at no cost (because a new DBS check may not be required). Therefore, where schools/Trusts determine that an individual has registered with the update service, they can, if they wish, ask the prospective employee for their details in order to access the system and obtain their DBS details.

When using the update service schools/academies must still see the original DBS certificate issued to the individual. They should ensure that the details of the certificate they see are the same as those held on the online system e.g. issue number, date, employee name, etc. and that the DBS is enhanced, appropriate for the child workforce, with barred list check if in regulated activity.

When the online update service is accessed, it will return one of the following statements:

* **This DBS certificate contains no information and remains current** – this means that the original certificate was blank (no information disclosed) and there has been no change to this position. Therefore, the school/Trust can take the original DBS certificate as current and valid
* **This DBS certificate remains current** – this means that information was disclosed about the individual on the original certificate and there has been no change to this position. Therefore, the school/Trust can take the original DBS certificate as current and valid
* **This DBS certificate is no longer current. Please apply for a new DBS check to get the most up-to-date information** – this means that new information has come to light and the school/Trust will need to ask the applicant to apply for a new DBS check to view this
* **The details entered do not match those held on our system. Please check and try again.** This can mean that the wrong information has been added, the individual has not subscribed to the update service or the DBS certificate has been removed from the update service. The school/Trust should check that it has entered the information correctly but if it does not receive a confirmation then a new DBS check should be requested.

These details can then be recorded on the SCR. A copy of the online confirmation should also be printed off and placed on the employee’s personal file. The link below provides more details about the DBS update service -

<https://www.gov.uk/government/publications/dbs-update-service-employer-guide/dbs-update-service-employer-guide>.

Where schools/Trusts use the update service and do not request a new DBS, they must ensure that they still confirm the employee’s identity and obtain copies of relevant documents as evidence.

**17.** **Good practice recommendations for the SCR**

The checks outlined above are the statutory entries on the Single Central Record. Although the following checks are statutory requirements, outlined in KCSIE, they are not a statutory requirement to be recorded on the SCR. Therefore, NYHR recommends you include them so you have one comprehensive record of all recruitment checks.

1. **References**

Please note that the obtaining and checking of references is a vital part of safer recruitment for staff and regular volunteers. However, it is not a statutory requirement to record this on the Single Central Record but we have included a references column on our templates.

1. **Disqualification under the Childcare Act 2006**

The Regulations are relevant to schools and nurseries who provide education up to and including the age of 5 and childcare to children under the age of 8. Relevant schools are required to determine who within their setting is covered by the Regulations and the date that information about disqualification was provided. As Ofsted may request information regarding disqualification checks in relevant settings, it is recommended that schools/Trusts record this on their single central record.

The Regulations will not apply to Junior or Secondary schools unless there is childcare provision on site for children under the age of 8 run either by the school or by an independent provider.

More information can be found regarding disqualification under the Childcare Act 2006 on [CYPS Info](https://cyps.northyorks.gov.uk/hr-safeguarding) or the [Department of Education website.](https://www.gov.uk/government/publications/disqualification-under-the-childcare-act-2006)

(c) **Medical Clearances**

Schools/Trusts may wish to record the medical checks they have completed on new members of staff on the SCR as well. These checks must have been completed to verify the person’s suitability to start in the post.

KCSIE states schools must, when appointing new staff (paragraph 154):

* verify the candidate’s mental and physical fitness to carry out their work responsibilities (Education (Health Standards) (England) Regulations 2003). A job applicant can be asked relevant questions about disability and health in order to establish whether they have the physical and mental capacity for the specific role

**18.** **Monitoring the Single Central Record**

The SCR is a live document which must be kept up-to-date and current. It is recommended practice that the SCR is regularly checked by a senior leader within school to ensure that it is complete and complies with the latest guidance.

Governors, or their equivalent in a MAT, also have a strategic responsibility for monitoring that school leaders are regularly checking the SCR. They may do this by asking questions about how complete the record is, how frequently it is reviewed and how it is stored.

It is recommended that a record be kept of all SCR monitoring activity undertaken within the school. This is a tab on the NYHR SCR template where this information can be recorded.

**19.** **Alternative provision**

Although not a requirement for the SCR, it is important to note that if a pupil is placed with an alternative provision provider the school or academy is still responsible for the safeguarding of that pupil. Written confirmation that appropriate safeguarding checks have been carried out on all individuals working at the establishment should be obtained and held securely by the school/Trust.

**20.** **School transport**

If an escort or driver is employed by the school/Trust then they would need to be on the SCR. The more usual situation would be where the taxi driver/escort are provided through a contract for services from another organisation in which case they would not need to be on the SCR. However, the school/Trust will need to seek written confirmation that the provider company has undertaken appropriate checks on its staff, including an enhanced DBS and barred list check.

**Information regarding NYCC transport provision -** The NYCC transport provision for Home to School and SEND is Regulated Activity and all drivers, whether bus or taxi, as well as any passenger assistants utilised on transport must undergo an Enhanced DBS check through NYCC.  The DBS check is for both the Child and Adult Workforce and includes a Barred List check for both.  If, after sight of the DBS, the driver/passenger assistant is authorised to work on NYCC transport contracts they are issued with a “NYCC DBS Badge”.  This badge contains a photograph of the individual, the company that they work for and whether they are a driver or a passenger assistant.  This “vetting process” forms part of the Terms & Conditions of Contract.

**Appendix 1**

**Template Email to third party employers**

Dear EMPLOYER NAME

**Single Central Record**

In accordance with Keeping Children Safe in Education, I require written confirmation that all necessary pre-employment checks have been satisfactorily completed before the member of staff can commence work in our School. Please can you confirm via email that the following checks have been carried out for NAME, JOB TITLE -

1. That you have checked their identity, name, address and date of birth
2. A Barred List for Children check (if applicable)
3. A TRA Prohibited List for Teachers check (if applicable)
4. That they hold a clear Enhanced DBS Disclosure for work with children (if the Disclosure is not clear, further details will be required)
5. That you have checked their right to work in the UK
6. That you have undertaken overseas checks for those who have lived or worked outside the UK e.g. Certificate of Good Conduct, Letter of Professional Standing (teaching staff only)
7. A check of professional teaching qualifications (if applicable)

For work in relevant childcare under the Childcare Act 2006 only –

1. A disqualification check has been undertaken under the Childcare Act 2006

The school also need to carry out their own identity checks when the person reports to school to verify they are the correct individual, therefore please ensure that your employee arrives with photographic ID badge, other photographic ID or please provide a photograph in advance of them arriving.

Once I have received confirmation that all the necessary checks have been completed and I have received a photograph the employee can start work at SCHOOL NAME.

Many thanks for you co-operation

NAME

**Appendix 2**

**Risk Assessment Decision Sheet -   
Starting work without all new starter documentation in place**

This risk assessment should be completed to help determine whether a member of staff should start employment before the necessary new starter documentation and clearances are in place.

|  |  |
| --- | --- |
| Name |  |
| Role |  |
| Proposed start date |  |
| Expected date for documents |  |
| Document(s) missing |  |

Is this person in Regulated Activity? Yes No

Please state the reason for the person starting without the correct documentation –

……………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………..

Please list below the possible hazards of starting this person without the correct documentation, what control measures you will put into place to reduce the risk and whether the risk is low, medium or high.

**Example -** If you decide to start a teacher in post before the DBS certificate is back a potential hazard could be that you are not fully aware of that person’s background. However, you may have reduced this risk by checking their references and verifying that the teacher in question was employed at another school in the last three months. If the person’s proposed start date and their last day at their previous school or college are **less** than three months apart, then there is no statutory requirement to obtain a new Enhanced DBS check, where staff are transferring to similar work. Therefore, given that there is sufficient other information, the person could be assessed to be of low risk, particularly if there is also supervision in place.

|  |  |  |
| --- | --- | --- |
| Hazard Identified | Control Measure | Risk Level |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

Do you think the risk/s are adequately controlled with the above measures?

Yes No

**If no and you believe the risk is still too high, please do not start the employee in post.**

Until all checks have been completed, an appropriate system of supervision should be put in place and reviewed at least every two weeks. These should be discussed with the individual prior to commencement. Please detail the supervision arrangements and review date below:

|  |
| --- |
| **Supervision arrangements** |
| **Review Date** |

**Authorisation to start the employee in post –**

Headteacher (Print Name)

Headteacher (Signature)

Date

**Confirmation that employee understands the supervision arrangements and will comply with these -**

Employee (Print Name)

Employee (Signature)

Date

Retain this form on the personal file for future reference.

**Employee Personnel File Checklist**

|  |  |  |  |
| --- | --- | --- | --- |
| **Employee Details** | | | |
| Name |  | Continuous Service Start Date |  |
| Name change |  | Name change date |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **New Starter Documents** | | | | |
|  | **Job titles for posts held in school** | | | |
|  |  |  |  |
| Application Form |  |  |  |  |
| Contract and/or contract variation |  |  |  |  |
| Job Description and Person Specification |  |  |  |  |
| Criminal record declaration form |  |  |  |  |
| Childcare disqualification self-declaration form (if applicable) |  |  |  |  |
| Selection documentation including interview questions |  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **SCR Documentation – please note some posts may not require all the checks below** | | | |
| **Check** | **Completed** | **Not applicable** | **Details** |
| **Identity checks** – Proof of DOB and home address (should be updated if employee moves home) |  |  |  |
| **Enhanced DBS Check** |  |  |  |
| **Children’s Barred List Check** |  |  |  |
| **Professional Qualifications** (teaching only) |  |  |  |
| **TRA Prohibition from teaching check** |  |  |  |
| **Overseas checks**:   * Certificate(s) of good conduct * Letter(s) of professional standing |  |  |  |
| **Right to work in the UK** |  |  |  |
| **Section 128 check** – those in management position |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Safer Recruitment Documentation** | | | |
| **Check** | **Completed** | **Not applicable** | **Details** |
| **Reference one** |  |  |  |
| **Reference two** |  |  |  |
| **Medical clearance** |  |  |  |
| **Non-teaching qualifications essential to role** |  |  |  |

**Appendix 4**

**Risk Assessment for Volunteers**

This risk assessment should be completed when considering whether a person working as a volunteer at the school should be asked to apply for an enhanced DBS certificate.

|  |  |  |
| --- | --- | --- |
| Name of Person |  | |
| Position Applied For |  | |
| Start Date |  | |
| Date of Risk Assessment |  | |
| Is the volunteer in ‘Regulated Activity’? | Yes | No |
| If ‘yes’, an enhanced DBS with Barred list check is required.  If no, an enhanced DBS without a barred list check **may** be obtained | |

**Factors to consider**

|  |  |  |
| --- | --- | --- |
| What is the age group of the pupils that the volunteer will work with? |  | |
| Are these pupils regarded as vulnerable? | Yes | No |
| How frequently will the volunteer be in school? |  | |
| What is the connection of the volunteer to the school? |  | |
| What motivates the volunteer to want to work in the school? |  | |
| Is the volunteer in paid employment or do they work in a voluntary capacity elsewhere with children? |  | |
| Have two references been obtained for the volunteer or can the volunteer provide at least one reference from someone other than a family member, including a senior person from their employment or voluntary service? | Yes | No |
| What information does the school already know about the person? |  | |
| Has the person’s identity been verified? | Yes | No |
| Is the person signed up to the DBS Update Service? | Yes | No |
| If so, has an online check been completed? | Yes | No |
| Is the person aware of any reason why they should not volunteer to work with children? | Yes | No |
| Is the school aware of any reason that the person should not work with children? | Yes | No |
| Is this volunteer with children between the hours of 2am and 6am | This is regulated activity and the person must have an Enhanced DBS check with barred list check. | |

**Decision Making**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Decision Made** | | **Completed By** | |
| **Unsupervised Volunteer: High Risk** – the school cannot guarantee the volunteer will be supervised.  *“Unsupervised”: This means that supervision cannot always be guaranteed to be ongoing.* | Application for an enhanced DBS check with a barred list check **must** be made. | |  | |
| **Supervised Volunteer: High Risk** – the person has no previous connection with the school AND cannot provide references from elsewhere.  *There is no statutory reason why this person needs to apply for an enhanced DBS Certificate, however, the school may wish to do so. The school should consider whether the person’s uncorroborated background would raise an unacceptable risk.* | Application for enhanced DBS check is/ is not needed. State reason(s) below: | |  | |
| **Supervised Volunteer: Medium Risk** – The person can provide suitable references for other work with children (either paid or unpaid), they have a connection to the school, and no issues have come to light that would mean they would be unsuitable.  *There is no statutory reason why this person needs to apply for an enhanced DBS Certificate. However, the school may wish to do so.* | Application for enhanced DBS check is/ is not needed. State reason(s) below | |  | |
| **Supervised Volunteer:** **Low Risk** – The person is signed up to the DBS Update Service and the checks reveal no negative information OR The person is employed or volunteers elsewhere and has a recent enhanced DBS and can provide references.  *There is no statutory reason why this person needs to apply for an enhanced DBS Certificate. However, unless the person uses the DBS Update service, the school may decide to obtain a new enhanced DBS.* | Application for enhanced DBS check is/ is not needed. State reason(s) below: | |  | |
| Outcome of DBS risk assessment | **No DBS** | **Enhanced DBS** | | **Enhanced DBS with barred list check** |
|  |  | |  |

Headteacher (Print Name)

Headteacher (Signature)

Date