



# Recruitment and Selection Policy

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# 1. Scope and Purpose

## 1.1

iExel Education Trust recognises that the Safeguarding of Children and Young People, ensuring equality of opportunity for all and the maintenance of public confidence is vital. Both the Trust and our schools must demonstrate that they have robust and accurate recruitment procedures in place relating to employment checks. Recruitment and selection procedures should deter, reject or identify people who might abuse children or are unsuited to work with them. Clear written recruitment and selection procedures should also ensure that all prospective employees are treated consistently and fairly and without discrimination.

## 1.2

This policy and procedure should be read in conjunction with the Trust's Equal Opportunities Policy, Safeguarding (Child Protection) Policy and the Department for Education's Publication 'Keeping Children Safe in Education'.

## 1.3

An overview of the Trust's Recruitment and Selection Processes is provided in Appendix 1.

# 2. Who is Responsible for this Policy?

## 2.1

The Trust has overall responsibility for the effective operation of this policy and for ensuring compliance with the relevant statutory or Trust framework. The Trust has delegated day-to-day responsibility for operating the policy to the Local Governing Body, the Trust Central Team and Principal of each Establishment.

## 2.2

The Local Governing Body and the Senior Leadership Team at each establishment have a specific responsibility to ensure the fair application of this policy and all members of staff are responsible for supporting colleagues and ensuring its success.

# 3. Who is Covered by this Policy?

## 3.1

This policy covers all employees at all levels and grades, including senior managers, officers, employees, trainees, part-time and fixed-term employees (collectively referred to as 'employees' in this policy). It does not apply to agency staff and self-employed contractors. There is a separate procedure for the recruitment of governors.

## 4. Approval to Recruit

### 4.1

An establishment's staffing structure must be agreed by the Chief Executive of the Trust.

### 4.2

When a vacancy becomes available, it is the Principal's responsibility (in liaison with any relevant staff) to review the vacant position and assess whether the vacancy requires filling.

### 4.3

Where the school is filling a vacancy 'like for like' the Principal is able to authorise recruitment via the iExel Recruitment Requisition Form as the post has already been approved within the existing structure.

### 4.4

Where the Principal wishes to make changes to the role or create an additional role not within the preapproved structure, s/he must obtain authorisation via the iExel Recruitment Requisition Form from the Chief Executive of the Trust.

### 4.5

In line with the Trust Equal Opportunities Policy, vacancies should not indirectly discriminate by an unjustified provision, criterion or practice that puts people with a protected characteristic at a particular disadvantage. For example, vacancies should be open to part time working or to be undertaken as a job share unless there is an objective justification for this not to be done.

## 5. Recruitment Checklist

### 5.1

The iExel Recruitment Checklist itemises each step of this process and a copy of the checklist should be completed for each vacancy.

### 5.2

Once a vacancy has been approved, the HR Officer should create a Vacancy File, in which all documentation relating to the vacancy, all application forms and the selection process documentation will be kept for a period of 6 months, in line with Data Protection Regulations.

### 5.3

Once the retention period has elapsed, the contents of the Vacancy File will be shredded and securely disposed of as confidential waste.

## 6. Job Description and Person Specification

### 6.1

The Trust provides a standard iExel Job Description and Person Specification template.

### 6.2

Job titles should be non-discriminatory; for example, the title should not assume a particular gender or age (e.g. “handyman” etc.).

### 6.3

The Job Description should outline the duties and responsibilities of the job and present these in the agreed standard iExel format.

### 6.4

The Job Description describes the job itself. Job Descriptions should not be too prescriptive where there are different ways of performing a task, as this can be indirectly discriminatory.

### 6.5

The Job Description must include a standard ‘Other Responsibilities’ section which requires candidates to:

- Promote the Trust’s vision of ‘Creating Brighter Futures’.
- Champion the Trust’s values of ‘Selflessness’, ‘Integrity’, ‘Objectivity’, ‘Accountability’ ‘Openness’, ‘Honesty’ and ‘Leadership’.
- Contribute to the wider life of the Trust and the iExel Education Trust.
- Carry out such duties as may be reasonably required by the Trust.

### 6.6

The Job Description must also include a standard ‘Records Management’ section which sets out 6.6.1. All staff who create, receive and use records in the course of their job are responsible for ensuring records are managed appropriately. It is therefore likely that the majority of staff will have some responsibilities in relation to record keeping.

### 6.7

The Person Specification is an interpretation of the Job Description that lists clearly and simply the qualifications, experience, abilities, skills and knowledge and personal characteristics required to carry out all the tasks in the Job Description. The Person Specification helps to avoid all subjective decisions and must be capable of being tested objectively.

### 6.8

The Person Specification should be presented in the agreed standard iExel format and include the following categories:

- Qualifications
- Experience
- Abilities, Skills and Knowledge
- Personal qualities

## 6.9

When determining the Person Specification, the Recruiting Manager should avoid setting standards of qualifications, experience or personal qualities which may unfairly discriminate against minority racial groups, those of one sex or the other, people with a disability or candidates of a particular age. The Person Specification should be used as a checklist of attributes in the shortlisting, interviewing and appointment process.

## 6.10

The Person Specification must include the standard iExel Personal Qualities section which requires the candidate to demonstrate (see 6.5.1):

- Commitment to iExel Education Trust's agenda for Safeguarding and Equality and Diversity.
- A sympathy and support of the Mixed Multi Academy Trust Model and ethos of the establishment.

# 7. Application Form

## 7.1

The Trust has provided a template iExel Teaching Application Form and an iExel Non-Teaching Application Form. Unless an establishment is making use of an e-application through a recruitment portal, this standard iExel template should be used.

## 7.2

Where possible application forms should be submitted electronically, but in exceptional circumstances may be accepted as hard copies.

# 8. Candidate Information Pack

## 8.1

A candidate information pack should be produced for all vacancies prior to advertising. The pack should include:

- Letter of introduction.
- Details of the application deadline and selection process.
- Job Description and Person Specification (using the iExel Template).
- Equal Opportunities Monitoring Form (using the iExel template, unless e-application is used).
- Safeguarding (Child Protection) Policy statement "iExel Education Trust is committed to safeguarding and promoting the welfare of children. This post is subject to satisfactory clearances including references, DBS checks, health clearances and proof of legal working in accordance with the Asylum and Immigration Act 1996".
- Background information on the Establishment (e.g. prospectus) or Department (if available).
- Contextual information on the post, where appropriate (e.g. staffing structure) and information about the geographical location (where appropriate).
- Background information on iExel Education Trust.

8.2

Where careers sites are used (e.g. E-teach), some of the information may be readily available on the site at all times and therefore will not need to be repeated within the Candidate Information Pack.

## 9. Advertising

9.1

The Trust will seek to attract the best candidate for the job based on merit, qualifications and experience in a professional and timely manner and will ensure the appointment of the person best suited for the role and the organisation.

9.2

Senior Leadership positions must be advertised nationally in appropriate specialist professional publications.

9.3

Steps should be taken to ensure that knowledge of vacancies reaches under-represented groups internally and, where appropriate externally.

9.4

Wherever appropriate, vacancies should be notified to job centres, careers officers and colleges as well as to minority press, media and other relevant organisations.

9.5

All vacancy advertisements should include a short statement on equal opportunities (such as “We welcome enquiries from everyone and value diversity in our workforce”).

9.6

All advertisements must also include the following statement “iExel Education Trust is committed to safeguarding and promoting the welfare of children. This post is subject to satisfactory clearances including references, DBS checks, health clearances and proof of legal working in accordance with the Asylum and Immigration Act 1996”.

9.7

All adverts placed must be in line with the agreed Trust branding in terms of artwork/logo, but more importantly in line with its ethos and values. iExel Template Advertisements are available from the Trust Central Human Resources Team.

9.7

The Trust may use an agency or external consultancy to manage the recruitment process in whole or in part. Examples where an agency or external consultancy may be used are for a difficult to fill post i.e. that has been advertised directly to no avail on at least two occasions, posts with specific, specialised skill sets or for large scale recruitment drives where internal resources to handle such a recruitment programme are limited.

9.8

The Trust will ensure that any agency used complies with the law, particularly in relation to equality.

# 10. Shortlisting of Applicants

## 10.1

Shortlisting should not take place until after the closing date.

## 10.2

The HR Officer should collate all applications received (electronic and hard copy).

## 10.3

Equality monitoring forms should be separated from the application forms and placed in the Vacancy File. If any candidate has declared a close personal relationship, the HR Officer should advise the Recruiting Manager of this. The Recruiting Manager/ Chair of the Panel should then take any necessary steps to ensure that the assessment process is impartial and make a note of actions taken. Please refer to Section 31 for further details.

## 10.4

If any candidate has declared a criminal conviction on their application form they should also have submitted a separate sheet with full details of the offence. The HR Officer should keep this separate from the application form so that it not considered as part of the shortlisting process. If the candidate is shortlisted refer to Section 32 'Policy on Recruitment of Ex-Offenders' for details of next steps.

## 10.5

The Principal should decide who is to be involved in the short listing process. The shortlisting panel should consist of at least two people and they should normally be two of those who will make up the selection panel. The panel should be selected with consideration to the communities served by the role.

## 10.6

Anyone who will form part of the shortlisting panel must have received training on the recruitment process, including the shortlisting process and equal opportunities. At least one panel member must have completed safer recruitment training (see Safeguarding (Child Protection) Policy).

## 10.7

The criteria for shortlisting should be based on the Person Specification in order to ensure that the shortlisting is carried out fairly and systematically.

## 10.8

The shortlisting process involves an assessment of information provided on the application form against the essential requirements of the role, as outlined in the Person Specification. Each of the essential criteria must be evidenced through specific examples, which demonstrate that the candidate meets the requirements of the role.

## 10.9

Applications made on a CV alone should not be accepted. If an individual submits only a CV, then this should be disregarded during the shortlisting process. The applicant would then fail to meet the criteria for selection for interview. This must be clearly stated on all job advertisements.

#### 10.10

Essential criteria are the minimum requirements required to perform the role. If a candidate does not meet the essential criteria, then s/he should not be shortlisted. If an unmanageable number of candidates meet the essential criteria, then the desirable criteria can be used as a further indicator of suitability. The panel should not use additional criteria that do not appear on the Person Specification as essential or desirable criteria, to reduce the number of shortlisted candidates.

#### 10.11

Shortlisting decisions must be based on an objective assessment of evidence provided by the applicant and contained within the application form. The content of the application form is measured against the essential requirements listed on the Person Specification and not on assumptions or knowledge held by a panel member about the applicant. This can easily occur if:

- The applicant is an internal candidate or is/has performed the role on a temporary basis; or is known to a member of the shortlisting panel.
- Panel members themselves are discriminatory in relation for example, to the applicant's gender, ethnic origin, sexual orientation, age or religious beliefs etc.
- A view is held about the applicant's home life which may affect the job e.g. "she will get married, have children and leave", "he will never work late as he has to look after his children".

#### 10.12

There is no prescription about the number of candidates that should be shortlisted; this decision should be based on the assessment of candidates against the essential requirements of the Person Specification. Where this number is low, a judgement will need to be taken whether it is viable to continue with the selection process.

#### 10.13

Part of the shortlisting process may also include highlighting any points which the panel would like to raise in interview. This could include:

- Specific areas of work or expertise the panel would like to ask about
- Gaps in employment history
- Vague terms or accomplishments which require clarity
- Frequent changes of employment or address

#### 10.14

Panel members should initially shortlist individually. Each member of the panel should review the application forms without reference to other panel members. The panel should then convene to discuss and agree their findings, and draw up the final shortlist. All members of the shortlisting panel must have equal status and contribute to the process accordingly. Panel members should not shortlist internal candidates, or those already performing the role on a temporary basis simply because they feel they 'ought to give them a chance'.

#### 10.15

A record of the decisions taken should be made on the standard iExel Shortlisting Matrix. In particular, this should be clear on the reason(s) why unsuccessful applicants were not selected for interview.

#### 10.16

Where candidates have indicated on their application form that they have a previous criminal conviction, this will not be used as part of the selection criteria. At interview, the Selection Panel should sensitively explore the circumstances of any convictions indicated on the application form.

# 11. References

## 11.1

References will be sought as soon as shortlisting has taken place and normally obtained prior to interview using the standard iExel Template Reference Request Form.

## 11.2

The purpose of seeking references is to obtain objective and factual information to support appointment decisions.

## 11.3

No reference may be sought without the prior agreement of the candidate. This permission is requested on the application form. A candidate may request that their current employer is only approached if s/he is the preferred candidate after interview, and the selection panel must adhere to that.

## 11.4

Reference or testimonials provided by the candidate, from family members or friends or on open references and testimonials, i.e. "To Whom it May Concern" should not be accepted.

## 11.5

Requests for references should always ask if there are any reasons why the referee considers the applicant is not suitable to work with children.

## 11.6

It is normal practice that one of the references is the applicant's current or most recent employer. Referees should have had some management responsibility for the applicant. There are circumstances when this is not always applicable, for example:

- If the candidate has not previously been employed, a reference would normally be requested from their last educational establishment.
- If the candidate has recently been unemployed or self-employed, then another suitable referee with knowledge of the candidate such as a doctor, solicitor, police officer or other professional must be sought.

## 11.7

If it is not possible to obtain a reference from any of the above, the selection panel will consider asking the candidate for another suitable referee.

## 11.8

On receipt, references should be checked to ensure that they are complete and clear i.e. any vague responses should be clarified with the referee. The reference should also be compared for consistency against other references. Any information about past disciplinary action or allegations should be considered carefully when assessing the candidate's suitability for the position.

## 11.9

The source of the reference must be verified so that the establishment is satisfied that the reference was provided by the referee i.e. a copy of the accompanying official email/letter should be kept as a record with the reference. The source of the email must be identifiable as such as being received from a company/organisation address rather than a personal email address (such as Hotmail, Gmail etc.). Where this is not possible, a phone call must be made to the referee to verify authenticity. The

HR Officer should sign and date the reference to indicate that it has been checked and identity of the referee verified by either official email or phone call.

#### 11.10

Normally two references should be sufficient, providing one is the current or most recent employer. A minimum of 2 years' reference history should be sought.

#### 11.11

Where the applicant is not currently working with children but has done so in the past, an additional reference must be requested from the employer by whom the candidate was most recently employed in work with children, and the reason for leaving this employment must be obtained, even if this employer is not listed as a referee. However, the candidate's approval must be obtained prior to approaching this former employer.

#### 11.12

In the event that a referee refuses to provide a reference, the establishment must find out why and seek an alternative referee.

#### 11.13

Please note employers are not legally obliged to provide a reference and many organisations will only supply a factual reference detailing the post the individual held within their organisation, and their employment start and end dates.

#### 11.14

If both referees supply a factual reference only, the candidate should be asked to supply an alternative referee who can attest to their suitability to work with children.

#### 11.15

An employer who will not provide a written reference may be willing to provide a verbal reference, so it is advisable to telephone the referee to check.

#### 11.16

References should be treated as confidential. Difficulties arise, however, where a reference raises a serious concern about the preferred candidate's suitability for the post. The referee's consent to the disclosure of the contents of the reference should be obtained prior to discussing concerns directly with the candidate. As a result of an adverse reference, the Selection Panel may:

##### 11.16.1

Seek clarification on the area of concern with the candidate during the interview. If this provides satisfactory, the panel may appoint;

##### 11.16.2

Refuse the appointment on the grounds of an unsatisfactory reference – where this is the case the panel must ensure that the decision is fair and reasonable and based on justifiable grounds.

#### 11.17

Where the reference is unclear or hints at problems, it is advisable to telephone the referee in order to clarify the information. Notes of this conversation must be documented, dated, signed and placed on file and in such considerations the welfare of the children is paramount.

#### 11.18

There may be occasions where despite chasing referees no information is forthcoming; this can be due to a number of reasons such as:

- Closure of business.
- Company Policy not to provide references.
- Relevant Management no longer in post.

#### 11.19

In these circumstances, the situation will be escalated to the Principal, who may decide that the risk controls in place (i.e. satisfactory references and DBS clearance) are sufficient to mitigate the risk on an on-going basis, allowing the individual to be confirmed in post.

## 12. Invite to Interview

### 12.1

It is recommended that candidates should be advised that they are selected for interview at least 5 working days before it is to take place. Consideration should be given to extending this period where the selection process includes other exercises, for example the preparation of presentation materials.

### 12.2

Letters inviting candidates to interviews should include the following information:

- Location and time of interview.
- Practical information about travelling to the interview (e.g. map and parking arrangements).
- Details of the selection process (e.g. programme for the selection process/list of activities).
- Details of any pre-interview preparation or tasks required of candidates.
- Information regarding the availability of equipment (e.g. computer equipment).
- Pupil data, in the case of interviews involving teaching observations.
- A request for details of any special requirements that will enable candidates to participate fully in the selection process.
- The requirement to produce original and valid documents relating to the candidate's right to work in the UK;
- The requirement to produce original proof of identity (photographic and proof of address);
- The requirement to undertake a DBS Disclosure check and produce the necessary original identity documents;
- The requirement to produce qualifications which are essential to the role;
- The requirement to produce evidence of qualified Teacher Status (where relevant);
- A request to confirm attendance;
- A contact name and telephone number.

### 12.3

Candidates must not be asked to provide any health related information unless this is in relation to any adjustment to be made at interview.

## 13. Selection Process

### 13.1

Interviewing candidates forms a crucial part of the selection process. Appendix 2 and Appendix 3, provide useful guidance on the role and function of the Selection Panel and guidance on the scope and content of interviews.

### 13.2

The HR Team in consultation with the Principal, will determine the end composition of the Selection Panel, taking into account the nature and seniority of the position being filled. The Selection Panel should consist of at least three\* people, one of whom should be from the HR Team. Selection Panels for SLT positions should be constituted in line with Section 42.

\*Maximum of five for more senior roles.

### 13.3

Consideration should be taken on the composition of the panel. The panel should be selected with consideration to the communities served by the role.

### 13.4

Anyone who will form part of the Selection Panel must have received training on the recruitment process and equal opportunities.

### 13.5

**At least one panel member must have completed safer recruitment training** (see Safeguarding (Child Protection) Policy). It is recommended that the person who has completed safer recruitment training is involved at all stages of the appointment process, especially the interview.

### 13.6

Considerable care needs to be taken over the practical arrangements for the selection day(s). The process has an impact on how iExel Education Trust is perceived by both the successful and unsuccessful candidates. Interviews should not be held on days of major religious festivals. Applicants should be treated as individuals while following a fair and consistent process for all.

### 13.7

In response to the invitation to interview letter, where candidates have indicated that they have a disability which requires a reasonable adjustment to be made to the selection process, then they should be asked in advance how the process can be made more accessible for them, and plans made in good time to provide additional resources/facilities, suitable venue etc.

### 13.8

The Selection Panel should then consider the range of selection activities to be used; for example, interview test(s), lesson delivery. Any task used should allow judgements to be as objective as possible. Where possible, pupils should be involved in the process of school appointments, for example through candidates teaching a lesson, showing candidates around the school, etc. Care must be taken on avoiding subjectivity where pupils are involved in the process. All tasks must have clear marking and weighting criteria.

### 13.9

The Selection Panel should also consider what activities might be appropriate in informing candidates of the nature of the post, the establishment and iExel Education Trust; for example, tour of the school building, meeting(s) with staff and/or pupils.

### 13.10

Panel members should allow time before the start of the interview process to rehearse the areas to be covered. This may include reviewing the interview questions to ensure that they are based on the Job Description and Person Specification and are competence-based rather than being hypothetical questions. The Trust HR Team will provide a draft interview pack to the panel prior to the interview, in order to allow the panel to review the interview questions. If there is no feedback on the packs 48 hours prior to the interview, then the content will remain unchanged and be produced for usage during the interview.

### 13.11

The interview should cover the following areas, as applicable to the role or the candidate, in order to satisfy essential criteria in the “Personal Qualities” section of the Person Specification:

- Their ability to support iExel Education Trust’s agenda for safeguarding and equality and diversity.
- Their commitment to iExel Education Trust’s Vision, Values and Ethos.
- Concerns or discrepancies from referees (if references are not available prior to interview, the panel should ask if there is anything the candidate would like to declare or discuss in light of the questions that will be put to referees).
- Whether the candidate wants to declare anything in the light of the requirement for a DBS Enhanced Disclosure (with Barred List check where appropriate).

### 13.12

The interview should explore issues relating to safeguarding and promoting the welfare of children in addition to candidates’ ability to perform the duties of the post including:

#### 13.12.1

The candidate’s attitude towards children and young people.

#### 13.12.2

Their motivation to work with children and young people.

#### 13.12.3

Their ability to form and maintain appropriate relationships and personal boundaries with children and young people.

#### 13.12.4

Their emotional resilience in working with challenging behaviours.

#### 13.12.5

Attitudes to use of authority and maintaining discipline.

#### 13.12.6

Areas that may cause concern from a safeguarding children point of view, such as probing gaps or discrepancies in employment history, finding out reasons for a history of repeated

changes of employment without clear salary/career progression, and exploring mid-career moves from a permanent post to supply teaching or temporary work.

#### 13.12.7

Asking about the kinds of situations that a candidate would avoid with respect to working with children.

#### 13.12.8

Any inconsistencies between information given by the candidate on his/her application form and information given by referees.

#### 13.13

The panel should need to frame any questions on specific safeguarding issues related to gaps and anomalies in employment history in a non-discriminatory fashion as there may be other reasons for breaks in service, such as pregnancy or disability, and the panel must not appear to be discriminating against candidates with protected characteristics.

#### 13.14

If, for whatever reason, references are not obtained before the interview, the candidate should also be asked at interview if there is anything s/he wishes to declare or discuss in light of the questions that have been put to his/her referees. References must be obtained and scrutinised before a person's appointment is confirmed and before s/he starts work.

#### 13.15

Every interview should be structured and the same questions should be asked of all candidates. Irrelevant interview questions that relate to protected characteristics should be avoided. Questions should not be asked, nor should assumptions be made, about whether someone would "fit in" with the existing workforce, as this is discriminatory and contrary to the Trust's ethos of inclusion.

#### 13.16

No questions should be asked about an applicant's disability status, health or absence record, as this is discriminatory and is prohibited under the Equality Act.

#### 13.17

During the interview, each panel member should make their own notes against each question on the **iExel Interview Record Template**.

#### 13.18

In addition to the interview, the selection process may contain input from a number of sources such as presentation, task, teaching observations etc. It is important that these remain consistent throughout the process and notes are kept to endorse this. Any task should allow judgements to be as objective as possible. Following each assessment, including the interview, the chair should record the panel's findings on the **iExel Assessment Record Template**. Guidance on how to score each activity is provided in the **iExel Assessment Guidelines**.

#### 13.19

Once all assessment activities have taken place, all scores should be transferred from the individual **iExel Assessment Record Templates** to the **Assessment Outcome Summary Template**. The panel should then discuss their feedback as a group and reach a consensus on whether an appointment can be made and who is the most appointable candidate. This decision should be documented on

the **Assessment Outcome Summary Template**. It is important that this summary document also clearly identifies the panel member who has undertaken safer recruitment training.

13.20

All assessment paperwork should be batched with panel notes. All documentation must be returned to the HR Officer for secure storage. Only those who require access for specific and authorised purposes will be able to access this information.

13.21

Once the panel have agreed on the appointment, the **Offer Request Form** must be completed in full.

13.22

The successful candidate should provide the “closest fit” to the “ideal person” described in the Person Specification and, as a minimum, should fulfil all the essential requirements. However, there may be exceptions made in the cases of roles that have proven difficult to recruit to. In these cases, the conditional offer of employment should document that the employee is expected to achieve the essential criteria within a specified, agreed period of time.

13.23

Candidates must be notified of the outcome of the selection exercise as soon as possible after the selection day. It is good practice to offer feedback to unsuccessful shortlisted candidates.

13.24

Applications and interview records from unsuccessful candidates must be stored in the vacancy file and securely destroyed after six months. It is prudent to retain records for this length of time in case of dispute or legal challenge.

13.25

The successful candidate’s application and interview notes should be transferred to their personnel file.

# 14. Conditional Offer of Employment

## 14.1

The offer of employment to a candidate is subject to a number of pre-employment checks:

### 14.1.1

Receipt of two satisfactory references.

### 14.1.2

Verification of identity (through photographic ID and proof of address).

### 14.1.3

Verification of a certificate for an enhanced DBS check which will have included barred list information, for those who will be engaging in regulated activity.

### 14.1.4

Verification of the person's mental and physical fitness to carry out their work responsibilities.

### 14.1.5

Verification of professional status if a teacher or Principal.

### 14.1.6

Verification that a candidate is not subject to a prohibition order issued by the Secretary of State if a teacher via the DfE Secure Access Online Portal.

### 14.1.7

Verification that a person is not subject to any teacher sanction or restriction imposed by regulators of the teaching profession in other EEA member states via the DfE Secure Access Online Portal.

### 14.1.8

Verification that a person taking part in the management of the school (management position, trustee or governor) is not subject to a Section 128 Direction made by the Secretary of State via the DfE Secure Access Online Portal or DBS check.

### 14.1.9

Verification of qualifications.

### 14.1.10

Satisfactory completion of checks to ensure that individuals are not disqualified under the Childcare (Disqualification) Regulations 2018 (where applicable).

### 14.1.11

Verification of the person's right to work in the United Kingdom.

### 14.1.12

Any further checks considered appropriate where the person has lived or worked outside the UK.

### 14.1.13

Satisfactory Vetting and Due Diligence checks (where applicable).

14.2

It is important that any initial verbal offer makes clear that the offer is conditional on the satisfactory completion of the above checks.

14.3

A formal **iExel Conditional Offer of Employment** should be issued within 3 working days.

14.4

In the event that a candidate withdraws from accepting an offer of employment the withdrawal must be confirmed in writing.

14.5

Where the pre-employment checks are subsequently unsatisfactory, a withdrawal of offer must be made in writing. The letter must set out the reasons for the withdrawal.

14.6

NQTs will need to be reminded that their contract is initially for a one-year induction period and their continuing employment is conditional upon the successful completion of their induction.

14.7

The salary level and pay decision will be made in line with the Trust Pay Policy.

## 15. Pre-Employment Checks: Overview

15.1

iExel Education Trust complies fully with all regulatory requirements in respect of pre-employment checks and will ensure any appointment is conditional upon:

15.1.1

Receipt of two satisfactory references.

15.1.2

Verification of identity (through photographic ID and proof of address) .

15.1.3

Verification of a certificate for an enhanced DBS check which will have included barred list information, for those who will be engaging in regulated activity.

15.1.4

Verification of the person's mental and physical fitness to carry out their work responsibilities.

15.1.5

Verification of professional status if a teacher or Principal.

15.1.6

Verification that a candidate is not subject to a prohibition order issued by the Secretary of State if a teacher via the DfE Secure Access Online Portal.

#### 15.1.7

Verification that a person is not subject to any teacher sanction or restriction imposed by regulators of the teaching profession in other EEA member states via the DfE Secure Access Online Portal.

#### 15.1.8

Verification that a person taking part in the management of the school (management position, trustee or governor) is not subject to a Section 128 Direction made by the Secretary of State via the DfE Secure Access Online Portal or DBS check.

#### 15.1.9

Verification of qualifications.

#### 15.1.10

Satisfactory completion of checks to ensure that individuals are not disqualified under the Childcare (Disqualification) Regulations 2018 (where applicable) .

#### 15.1.11

Verification of the person’s right to work in the United Kingdom.

#### 15.1.12

Any further checks considered appropriate where the person has lived or worked outside the UK.

#### 15.1.13

Satisfactory Vetting and Due Diligence checks (where applicable).

### 15.2

These checks take place at different stages of the recruitment process, as follows and recorded on the **iExel Recruitment Checklist** as and when completed:

15.3 Table 1: Summary of Pre-Employment Checks

Pre-Employment Check/Activity	Stage in Process	Section
Send of for references	Shortlisting Stage	Section 11
Check Identity	Interview Stage	Section 16
Check Right to Work Status	Interview Stage	Section 17
Check DBS documentation	Interview Stage	Section 18
Check relevant qualifications	Interview Stage	Section 19
Ask candidate to sign their application form	Interview Stage	Section 20
Issue offer paperwork	Conditional Offer Stage	Section 14
Complete all checks on <b>iExel Recruitment Checklist</b>	Conditional Offer Stage	
Verify that individuals are not disqualified under the Childcare (Disqualification) Regulations 2018 (where applicable)	Conditional Offer Stage	Section 22
Submit DBS application	Conditional Offer Stage	Section 18
Checks in relation to living/working outside the UK (where applicable)	Conditional Offer Stage	Section 23
Verify professional status if a teacher	Conditional Offer Stage	Section 19 and Section 24

Pre-Employment Check/Activity	Stage in Process	Section
Verify that a candidate is not subject to a prohibition order issued by the Secretary of State if a teacher via the DfE Secure Access Online Portal	Conditional Offer Stage	Section 24
Verify that a person is not subject to any teacher sanction or restriction that an EEA professional regulating authority has imposed via the DfE Secure Access Online Portal	Conditional Offer Stage	Section 25
Verify that the person is not subject to any Section 128 Direction issued by the Secretary of State, if appropriate to role via the DfE Secure Access Online Portal or DBS check	Conditional Offer Stage	Section 26
Complete Occupational Health Assessment to determine medical fitness	Conditional Offer Stage	Section 27
Complete Vetting and Due Diligence Checks	Conditional Offer Stage	Section 28
Complete Personal Details Form	Conditional Offer Stage	Section 29
Verify DBS Certification	Conditional Offer stage	Section 18
Check Continuous Service History (if applicable)	Conditional Offer Stage	Section 21
Obtain P45 and completed Starter Checklist	Conditional Offer Stage	Section 30
Ensure Single Central Record is complete	Conditional Offer Stage	Section 44

#### 15.4

References should be sought as soon as candidates have been shortlisted. HR Officers should verify, sign and date copies.

#### 15.5

Shortlisted candidates' identity, right to work in UK and relevant professional, academic or vocational qualifications must be verified and photocopied when they attend for interview. HR Officers should sign and date photocopies as a record of the check.

#### 15.6

In compliance with the provisions of the Data Protection Act 2018, personal details of the unsuccessful candidates must be shredded three days after the successful candidate has accepted the job offer. All photocopies of personal data must be destroyed, except for shortlisting and panel interview notes, which must be kept for six months, in line with the Trust Records Management Policy. This is in case anyone asks for feedback or challenges the recruitment decision.

#### 15.7

Checks in relation to individuals living and working outside the UK are made via application to the specific country or to the relevant embassy in the UK.

#### 15.8

Verification that an individual is not disqualified under the Childcare (Disqualification) Regulations 2018 is obtained via a short questionnaire. Completed questionnaires must be checked, signed and dated by the HR Officer.

#### 15.9

Verification of a teacher's professional status should be checked via a Certificate of the DfE Secure Access Online Portal. HR Officers should sign and date copies as a record of the check.

#### 15.10

Verification that an individual is not subject to a prohibition order/sanctions, teacher sanction or restriction in the EEA and S128 direction is made via DfE Secure Access Online Portal.

#### 15.11

Verification of health and physical capacity for the job is undertaken by means of an online assessment, which is sent to the successful candidate with their conditional offer paperwork. Under the Equality Act, it is unlawful to enquire about an applicant's disability status, health or absence record during the recruitment process, prior to the offer of employment. The Trust's policy is compliant with this requirement, as the health declaration is sent to the successful candidate only after the conditional offer is made.

#### 15.12

Continuous Service is checked via a questionnaire issued with the Conditional Offer Letter.

#### 15.13

The appointment cannot be confirmed until all the necessary checks listed in this section and detailed in Sections 16-30, have been satisfactorily completed.

#### 15.14

The pre-employment checks must be logged in a Single Central Record for the successful candidate. Each establishment must maintain separate Single Central Records. See separate **iExel Template Single Central Record**.

## 16. Pre-Employment Check: Identity Check

#### 16.1

A candidate's identity must be verified at interview stage from an official original form of current photographic ID (i.e. passport or driving licence) and proof of address via an acceptable document as outlined in the DBS Acceptable Documents List.

#### 16.2

In exceptional cases, where photographic ID is not available, proof of address only may be accepted. However, the reasons for this should be fully explored, documented and recorded. It is important to establish that the applicant is who they say they are and that they live at the address stated.

#### 16.3

HR Officers should sign and date photocopies of the original documentation as a record of the check. Copies should be kept securely in the candidate's personnel file.

#### 16.4

A note of the checks must be entered on to the Single Central Record.

# 17. Pre-Employment Check: Right to work in the UK

## 17.1

All employers have a legal duty to prevent illegal working. An illegal worker is defined as someone who is:

- Subject to immigration control; and
- Aged over 16; and
- Not allowed to carry out the work in question either because they have not been granted leave to enter work in the UK or because their permission has expired.

## 17.2

Proof of right to work in the UK and do the type of work offered must be checked for everyone, including people who were born and have always lived in the UK.

## 17.3

Candidates must bring to interview evidence to confirm their eligibility to work in the UK. The Home Office sets out the documents considered as genuine evidence of Right to Work in the UK.

Acceptable documents are classified into three categories List A, List B Group 1 and List B Group 2 (see Appendix 4). The establishment must assess the eligibility of an individual's right to work in the UK by verifying the specified documentation from the **Right to Work in the UK Acceptable Documents Form**. Proof of National Insurance numbers in isolation or Driving Licences in any situation are not satisfactory Proof of Right to Work in the UK.

## 17.4

The HR Officer must check that documents are genuine and that the person presenting them is the prospective employee, the rightful holder and allowed to do the type of work on offer. HR Officers must check:

### 17.4.1

Photographs and dates of birth are consistent across documents and with the person's appearance in order to detect impersonation.

### 17.4.2

Expiry dates for permission to be in the UK have not passed.

### 17.4.3

Any UK immigration endorsements and determine if they are allowed to do the type of work on offer (for students who have limited permission to work during term-times, the HR Officer must also obtain, copy and retain details of their academic term and vacation times covering the duration of their period of study in the UK for which they will be employed) .

### 17.4.4

The documents are genuine, have not been tampered with and belong to the holder.

### 17.4.5

The reasons for any difference in names across documents (e.g. original marriage certificate, divorce decree absolute, deed poll). Supporting documents should be requested in such cases.

## 17.5

The HR Officer must make a copy of each document in a format which cannot later be altered, and retain the copy securely on the candidate's personnel file. HR Officers should sign and date photocopies of the original documentation as a record of the check.

## 17.6

Copies must be made as follows;

### 17.6.1

**Passports:** any page with the document expiry date, the holder's nationality, date of birth, signature, leave expiry date, biometric details, photograph and any page containing information indicating the holder has an entitlement to enter or remain in the UK and undertake the work in question (the front cover no longer has to be copied) .

### 17.6.2

**All other documents:** the documents in full, including both sides of a Biometric Residence Permit and a Residence Card (biometric format).

### 17.6.3

Copies should be kept securely for not less than two years after the employment has come to an end in line with the Trust's Records Management Policy.

## 17.7

A note of the checks must be entered on the Single Central Record.

## 17.8

Where the establishment correctly carries out the above steps, the Trust will have a 'statutory excuse' against liability for a civil penalty if the candidate is subsequently found to be working illegally. However, the type of 'statutory excuse' determines how long it lasts for, and if, and when a follow-up check is required. If a prospective employee provides one of the single documents, or a combination of documents as outlined in List B, it indicates that they only have limited leave to work in the UK. The establishment is required to carry out follow up checks on this person to establish a time limited statutory excuse. The frequency of these follow up checks depends on whether the documents presented are from Group 1 or Group 2. The table below summarises when follow up checks are required.

17.9 Table 2: Right to Work in the UK Follow Up Checks

Document Type	Excuse Type	Frequency of Checks
List A	Continuous	Before employment starts only. No further checks are required for the duration of their employment.
List B – Group 1	Time Limited	Before employment starts and again when permission (as indicated within the document presented) expires.
List B – Group 2	Time Limited	Before employment starts and again after 6 months (as from the date specified in your Positive Verification Notice <sup>1</sup> )

17.10

HR Officers must make a record of dates when specified documentation was checked; this should be placed on the personnel file and also updated on the Single Central Record.

17.11

If any existing employee with entitlement to work under List B subsequently fails to provide evidence of their continued right to work, their contract will be terminated.

17.12

The Trust Central Human Resources Team should be contacted for advice in relation to the specific requirements in relation to applications from asylum seekers; students from outside the European Economic area; volunteers without permission to work in the UK; applicants in the process of gender transitioning; skilled workers under the Points-Based System (which replaces the old work permit system); and applicants from the A8 and A2 countries.

# 18. Pre-Employment Check: Disclosure & Barring Service (DBS)

18

The DBS is responsible for administering three types of checks:

18.1.1

**Standard:** a check of the Police National Computer (PNC) records of convictions, cautions, reprimands and warnings.

18.1.2

**Enhanced:** a check of the PNC record as above. Plus, any other information held by the police that is considered relevant by the police.

18.1.3

**Enhanced with barred list information:** for people working in regulated activity with children. This adds checks of the DBS Children's Barred List to the enhanced check.

18.1

It is mandatory for the entire schools' workforce (including voluntary staff and Governors) to have an enhanced DBS Certificate as a minimum. For most appointments, an enhanced DBS certificate, which will be required as the majority of staff will be engaging in regulated activity. In summary, a person will be considered to be engaging in regulated activity if as a result of their work they:

18.2.1

Will be responsible, on a regular basis, in a school or college, for teaching, training instructing, caring for or supervising children; or

18.2.2

Will carry out paid, or unsupervised unpaid, work regularly in a school or college where that work provides an opportunity for contact with children; or

18.2.3

Engage in intimate or personal care or overnight activity, even if this happens only once, in a school or college, a **supervised** volunteer who regularly teaches or looks after children is not in 'regulated activity'. The DfE provides further guidance in Annex E of 19CSIE and Regulated Activity in Relation to Children: Scope Factual Notes by H.M. Government.

18.2

An overview of when to complete a DBS Check and which level is provided in Appendix 5.

18.3

Candidates should be asked to bring all necessary identity documentation required for DBS check purposes to interview as outlined in the **iExel DBS Acceptable Documents Form**. HR Officers should sign and date photocopies or the original documentation as a record of the check. The supporting information should be retained in case of query until the DBS Disclosure Certificate is obtained and verified.

#### 18.4

HR Officers should complete the DBS check using the Trust's Online DBS Service. Full details of the process are provided in the **DBS Guidance Notes**.

#### 18.5

Once the check has been completed, the candidate will be sent a Disclosure Certificate to their home address. The candidate must provide the establishment with sight of the original document to confirm their clearance. The Recruiting Administrator should sign and date a copy of the Certificate.

#### 18.6

Once the DBS is cleared the supporting documentation should be securely destroyed, apart from any documentation which also confirms the candidate's identity and right to work in the UK, which must be retained on their personnel file.

#### 18.7

Access to the DBS certificate is controlled and restricted to those who are required to see it as part of their duties. A record must be kept of all those to whom Disclosures or Disclosure information has been revealed using the **iExel DBS Handling Record**.

#### 18.8

It is a criminal offence to pass this information to anyone who is not entitled to receive it. The disclosure information must only be used for the specific purpose for which it was requested and for which the applicant has given full consent.

#### 18.9

Specific information on the DBS check should be transferred onto the Single Central Record.

#### 18.10

In the event that information is disclosed on the Certificate, the matter will be referred to the Principal. Depending on the circumstances, the prospective employee may be invited to meet with the Principal to provide further information to supplement the DBS Disclosure. Advice should be taken from the Trust Central Human Resources Team will advise.

#### 18.11

The Principal can make the following decisions:

##### 18.11.1

The conditional offer of employment is withdrawn.

##### 18.11.2

An investigation is initiated. If, after careful consideration of the full details it is identified that matters are too serious and/or the candidate has not been able to provide the reassurance required or the risk to children or other vulnerable people including employees, customers or clients have been identified as unacceptably high to the Trust and to the establishment the offer of employment will be withdrawn.

##### 18.11.3

The candidate can be employed. The candidate should be allowed to work for the establishment and the appointment confirmed in writing, subject to all other pre-employment clearances proving satisfactory.

#### 18.12

The decision will be recorded on the **iExel DBS Disclosure Risk Assessment Record**, which will be retained on the individual's personnel file, and the prospective employee will be informed of the outcome in writing.

#### 18.13

DBS clearance will be rechecked every 3 years. A new DBS check should also be requested in the following circumstances:

##### 18.13.1

Where an employee moves from a post not working with children to a post working with children or vulnerable adults, or vice versa, and there is no evidence that the relevant Barred List has been checked as part of the DBS clearance;

##### 18.13.2

Where concerns are raised about the employee's suitability to work with children or vulnerable adults.

##### 18.13.3

Where a post with existing DBS Requirements has been re-assessed and requires staff to have a higher level of clearance (e.g. previously Enhanced level and now requires Enhanced level with Barred List check).

#### 18.14

Where it is identified that a current employee has been convicted of an offence, the relevance of this to their current post will need to be risk assessed. If there is relevance the employee will be suspended from duty and the appropriate disciplinary procedures would be used, which could result in the dismissal of the employee from the school.

#### 18.15

DBS certificates will be checked online for those staff who subscribe to the DBS update service. This will only be done once the employee's permission has been sought. The Trust does not endorse the use of portability i.e. the use of a DBS certificate obtained for a position in another organisation and later used for another position in another organisation. A DBS certificate carries no formal period of validity and reflects information that was available at the time of its issue only, Portability should therefore only be considered as part of the overall selection process pending receipt of a new DBS certificate. A new DBS certificate will be requested for all new employees in schools prior to employment commencing.

#### 18.16

DBS checks on staff from overseas – At present the DBS does not have access to overseas criminal records or other relevant information as part of the Disclosure Service. It is therefore important to be aware of the limitations of applying for disclosures for candidates who have not lived in the UK for very long or not at all. To get a fuller picture of an employee's background, a request should be made for a criminal record check directly from the appropriate issuing country/authority. This is usually referred to as a "certificate of good conduct". Further information can be found on the website below and in the Home Office Guidance document

<https://www.gov.uk/government/publications/criminal-recordschecks-for-overseas-applicants>

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/477235/GOV\\_CR\\_GUIDANCE\\_FAQs\\_FINAL.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/477235/GOV_CR_GUIDANCE_FAQs_FINAL.pdf)

18.17

The DBS Certificate should be verified before the successful candidate starts work. In exceptional circumstances, when it is proposed that a candidate should start before the DBS Certificate has been verified, this cannot be done without the Trust Central Human Resources Team, who will manage the risk assessment process. HR advice should be sought as soon as any issues become apparent as this will impact the achievable timeline for statutory measures to be put in place.

## 19. Pre-Employment Check: Qualifications

19.1

Where a qualification is legally required for a post or where the Person Specification specifies a qualification as part of the essential criteria, the applicant will be required to produce their original certificate at interview. If the original certificate is unavailable, the applicant must obtain a certified copy of the document from the issuing establishment. Where these are not available, written confirmation of qualifications must be obtained from the awarding body.

19.2

A note of the checks must be entered on the Single Central Record.

19.3

Academies have the power to hire unqualified teachers. Wherever possible, however, the Trust Schools should seek to recruit teachers who completed QTS after 7 May 1999, evidence of completion of a Statutory Induction period is also required, unless an exemption applies (see Annex B of Induction for Newly Qualified Teachers for details of exemptions). HR Officers should sign and date copies of evidence of QTS and statutory induction as a record of the check.

19.4

If a candidate has a Teacher Reference Number, this does not necessarily mean that s/he has QTS, as such a number is issued at the beginning of a course which may lead to the award of QTS.

19.5

Newly Qualified Teachers (NQTs) may not have evidence of their Qualified Teacher Status at the time of interview. If this is the case, evidence must be provided prior to their start date as a teacher.

19.6

Alternatively, confirmation of QTS and completion of the Statutory Induction period can be obtained via the DfE Secure Access Online Portal.

## 20. Pre-Employment Check: Signing of Application Form

### 20.1

In the majority of cases, application forms will have been submitted electronically. Candidates should be asked to sign their application form at the interview stage, in order to verify that the information provided on the form is correct and to give consent for the personal data to be used for the purposes of recruitment and selection.

## 21 Pre-Employment Check: Check of Continuous Service History

### 21.1

Under the provisions of the Redundancy Payments: Continuity of Employment in Local Government, etc. Modification Order 1999 and the Burgundy Book, iExel Education Trust recognises continuous service within Local Government employment for all staff groups in order to calculate entitlements for maternity pay and leave, sickness pay and leave, annual leave period and redundancy.

### 21.2

The onus is on the candidate to provide verifiable evidence of their continuous service date via contract or pension documentation. This is detailed in the **Conditional Offer Letter** and the **Previous Continuous Service Claim Form** and guidelines should be included as part of the Conditional Offer Pack.

## 22. Pre-Employment Check: Disqualification under the Childcare Act 2006

### 22.1

All 'relevant' staff 2006 working in a 'relevant setting' must be checked, via the **iExel Disqualification Declaration Form**, in accordance with the requirements of the Childcare (Disqualification) Regulations 2018 and Childcare Act 2006. The following categories of staff in nursery, primary or secondary school settings are covered by the Childcare (Disqualification) Regulations 2018.

#### 22.1.1

Staff who work in early years' provision (including teachers and support staff working in school nursery and reception classes).

#### 22.1.2

Staff working in later years' provision for children who have not attained the age of 8 including before school settings, such as breakfast clubs, and after school provision.

#### 22.1.3

Staff who are directly concerned in the management of such early or later years' provision.

## 22.2

The Regulations refer to employing a person “in connection with” these provisions and it is therefore concluded that:

### 22.2.1

In Infant and Nursery Schools – **all staff** will be covered by the Regulations.

### 22.2.2

Primary/Junior Schools – **all staff** will be covered by the Regulations as it is unlikely in such settings that staff are always exclusively working with those over the age of 8.

### 22.2.3

Secondary Schools – will need to undertake checks on relevant staff (including managers) where any services are provided where under 8s may be in attendance e.g. childcare facilities, before or after school clubs.

### 22.2.4

In the Trust Central Team – all staff/consultants that work directly with relevant settings and come into contact with pupils under 8 years.

## 22.3

‘Staff’ includes individuals employed by the Trust, those undertaking training in an establishment (both salaried and unsalaried), casual workers and volunteers.

## 22.4

Checks will be conducted in line with the above annually for existing staff and at the point of conditional job offer for new staff. Refusal to participate in such checks may be dealt with under the Trust’s Disciplinary Policy.

## 22.5

A record of all checks must be entered on the Single Central Record and disclosure forms held on staff personnel files.

## 22.6

Where a declaration is made, advice will be sought immediately from the Trust Central Human Resources Team as to whether a ‘relevant’ offence has been committed. Advice may also be sought directly from the Department for Education ([mailbox.disqualification@education.gsi.gov.uk](mailto:mailbox.disqualification@education.gsi.gov.uk)) or Ofsted ([disqualification@ofsted.gov.uk](mailto:disqualification@ofsted.gov.uk)) if required.

## 23. Pre-Employment Check: Checks in relation to living/working outside the UK

### 23.1

Where an employee has lived or worked outside the UK, additional checks should be undertaken to verify their employment/living status. The HR Officer must take all steps to ensure that he/she is satisfied with the employment history which has been provided.

### 23.2

A request should be made to the country or countries the candidate has lived in for a “certificate of good conduct”. Further information can be found on the website below and in the Home Office guidance document: <https://www.gov.uk/government/publications/criminal-records-checks-for-overseas-applicants>.

<https://www.gov.uk/government/publications/criminal-records-checks-for-overseas-applicants/guidance-on-the-application-process-for-criminal-records-checks-overseas>

### 23.3

A note of checks must be entered on the Single Central Record.

## 24. Pre-Employment Check: Prohibition from Teaching Check

### 24.1

Prohibition orders prevent a person from carrying out teaching work in schools, sixth form colleges, 16 to 19 academies, relevant youth accommodation and children’s homes in England. A person who is prohibited from teaching must not be appointed to work as a teacher in such a setting.

### 24.2

The HR Officer will be able to carry out a check via the DfE Secure Access Online Portal for all prospective members of teaching staff, including members of the Senior Leadership Team (SLT) (see NCTL Teacher Status User Guide).

### 24.3

The service allows employers, via a search on Teacher Reference Number and date of birth, to access individual teacher records of candidates holding qualified teacher status (QTS) including any:

- Trainee or teacher with an active restriction.
- Teacher who has been the subject of a decision by the Secretary of State not to impose a prohibition order following a determination by a professional conduct panel or unacceptable professional conduct, conduct that may bring the teaching profession into disrepute or conviction of a relevant offence.

### 24.4

It is also possible to access four separate lists on the DfE Secure Access Online Portal with details of teachers who have a current restriction against them in relation to teaching in England. This includes:

- Teachers who have failed to successfully complete their induction or probation period.

- Teachers who may be the subject of a suspension or conditional offer imposed by the General Teaching Council for England (prior to abolition) that is still current.
- Teachers who have been prohibited from the profession.
- Restrictions/sanctions that have been imposed by regulators of the teaching profession in other EEA member states (see Section 25) .
- Section 128 barring directions (See Section 26).

#### 24.5

Searching via these alphabetical lists allows searches allows the Trust's Central HR Team to undertake checks on individuals who do not have a Teacher Reference Number (e.g. those who hold QTLS).

#### 24.6

An additional check may also be made on teachers who hold QTLS. The Society for Education and Training are able to confirm if the member of staff appointed has gained QTLS and remains in good standing as a registered member, completing annual CPD and complying with the Code of Professional Practice. Confirmation can be requested by emailing: [professional.formation@etfoundation.co.uk](mailto:professional.formation@etfoundation.co.uk).

#### 24.7

A copy of the candidate's check should be printed and kept securely on their personnel file. HR Officers should sign and date copies as a record of the check.

#### 24.8

A note of the check should be entered on the Single Central Record.

## 25. Pre-Employment Check: Teacher Sanctions in Other EEA Member States

### 25.1

From 18 January 2016 where any European Economic Area (EEA) authority is responsible for regulating the teaching profession imposes a restriction on a person's ability to work as a teacher, this information must be shared with all other EEA teacher regulators.

### 25.2

The HR Officer will be able to carry out a check via the DfE Secure Access Online Portal for all prospective staff who have been identified to the National College for Teaching and Leadership (NCTL) as having a current EEA member state restriction/sanction imposed on them.

### 25.3

Whilst such a restriction/sanction does not currently prevent the person from taking up teaching positions in England, the HR Officer should obtain further information about the circumstances leading to this decision.

### 25.4

The HR Officer should contact the EEA regulator responsible for the decision to obtain more information about the reasons for imposing the sanction/restriction.

### 25.5

Any decision to employ an individual with an EEA restriction must be approved by the Chief Executive of the Trust.

### 25.6

The NCTL must be informed immediately of the appointment, including the date they will begin work, by emailing [misconduct.teacher@education.gsi.gov.uk](mailto:misconduct.teacher@education.gsi.gov.uk) or calling 0207 5935393.

### 25.7

A note of the check should be entered on the Single Central Record.

## 26. Pre-Employment Check: Section 128 Barring Directions

### 26.1

Establishments are required to ensure that checks are made for the existence of directions made by the Secretary of State under s.128 of the Education and Skills Act 2008 barring individuals from taking part in the management of an independent school.

### 26.2

The scope of the barring directions covers membership of the proprietor bodies (including governors if the governing body is the proprietor body for the school), and all staff positions as follows: Principal, any teaching positions on the senior leadership team, and any teaching positions which carry a department headship. Other teaching posts with additional responsibilities do not count as 'taking part in management'. For non-teaching staff, only posts which are part of the senior leadership team should be regarded as 'management' for the purposes of checking for the existence of a barring direction. All employed school staff are regarded as being in 'regulated activity' for the purposes of these checks.

### 26.3

Section 128 barring checks can be checked via the DfE Secure Access Online Portal. Here, a list contains the names of individuals who have been barred from taking part in the management of any independent school (including academies and free schools), under the terms of a direction made by the Secretary of State for Education.

### 26.4

A note of the check should be entered on the Single Central Record.

## 27. Pre-Employment Check: Occupational Health Check

### 27.1

Anyone appointed to a post must be cleared by Occupational Health as medically fit for the appropriate role.

### 27.2

HR Officers must carry out an Occupational Health Assessment in accordance with the nature of the prospective employee's role using the Trust's approved provider.

### 27.3

Employment must not begin until health clearance is received.

### 27.4

The HR Officer must sign the Clearance Report, date and record on the Single Central Record as a record of the check.

27.5

Where a referral is made, Occupational Health will be engaged and the Principal must take the decision on the candidate's suitability for the role after considering the findings of the OH referral.

## 28. Pre-Employment Check: Vetting and Due Diligence (including Social Media)

28.1

In line with the iExel Vetting and Due Diligence Policy, open source vetting and due diligence checks should be undertaken on the following categories of employees to guard against safeguarding risks to the establishment/Trust, its staff or its pupils and to protect against extremism in any form which is contrary to the Trust values and policies:

- Senior Leadership Team appointments
- Support Staff appointments at grade TSM1 or above
- Central Office Education Support appointments equivalent to grade TSM1 or above

28.2

These checks are also carried out for anyone who wishes to be considered for a role as a Trustee, Governor, volunteer or external speaker before they are invited to the establishment.

28.3

HR Officers should complete the **iExel Vetting and Due Diligence Proforma** as a part of the conditional offer process for employees who have been offered a position in one of the categories listed above.

## 29. Pre-Employment Check: Personal Details

29.1

In order to set the prospective employee within the Establishment Payroll Provider and capture key details required for the establishment, the HR Officer should issue the **iExel Personal Details Form**.

## 30. Pre-Employment Check: P45 and Starter Checklist

30.1

To comply with HMRC Regulations, all new starters must complete a Starter Checklist. This is sent out with the conditional offer of employment. New starters are also requested to provide their P45 as soon as they receive it.

## 31. Pre-Employment Check: Completion

### 31.1

If there are any concerns about the outcome of the pre-employment checks, immediate guidance should be sought from the Trust Central Human Resources Team.

### 31.2

Once all satisfactory clearances have been received, the HR Officer can liaise with the Recruiting Manager/future line manager with regard to agreeing a preferred start date (if not already done so) for the new employee, subject to any notice periods which the preferred candidate is bound by in their current employment (if applicable).

### 31.3

The **iExel Confirmation of Appointment Letter** will be generated by the HR System, and a Contract of Employment will be made available for review and will also permit a signature to be registered on the system. **The iExel Confirmation of Appointment Letter** will confirm in writing to the new employee that they are being offered employment with the establishment.

### 31.4

Once a start date for the new employee has been finalised, the establishment should begin to consider the induction timetable, as outlined in the Trust's Induction Policy.

## 32. Close Relatives Register

### 32.1

If the selected candidate has disclosed on their application form a close personal relationship with a member of staff, governor or trustee of iExel Education Trust, the **Close Relatives Register** should be completed as a record of the recruitment process and any adjustments made to ensure fairness and impartiality throughout the selection process.

### 32.2

No staff should be involved in the recruitment of a close relative.

### 32.3

Where a candidate is a close relative of the Principal or senior leader, a member of the Trust Central Team or LGB should sit on the interview panel.

## 33. Policy On The Recruitment of Ex-Offenders

### 33.1

iExel Education Trust uses an online Disclosure & Barring Service (DBS) to assess an applicant's suitability for positions of trust, and complies with the DBS Code of Practice and undertakes to treat all applicants fairly. The Trust undertakes not to discriminate unfairly against any subject of a Disclosure on the basis of conviction or other information revealed.

### 33.2

The Trust aims to promote equality of opportunity for all, and is committed to the fair treatment of employees, job applicants and service users. Job applicants are considered on the basis of their suitability for the job. Criminal records will be taken into account only when the conviction is relevant to the nature of the role applied for. Having an “unspent” conviction will not necessarily bar anyone from employment. This will depend on the nature of the role applied for and, circumstances and the background to the offence(s).

### 33.3

Unless the nature of the post allows an establishment to ask questions about a person’s entire criminal record, only details of “unspent convictions” as defined in the Rehabilitation of Offenders Act 1974 will be sought.

### 33.4

As an educational establishment it is important to note however, that in some situations a person must declare certain criminal convictions when asked to do so even if the conviction/caution would be regarded as spent in other circumstances. This includes when someone is applying to work with children, whether paid or voluntary. Thus for a significant percentage of roles the Trust would be considered to be exempt from the act.

### 33.5

Where appropriate, following guidance from the Trust Central Human Resources Team, at interview, or in a separate discussion, the establishment will ensure that there is an open and measured discussion with the individual about any offences or other matters that might be relevant to the position. Failure to reveal information that is directly relevant to the position being sought could lead to the withdrawal of an offer of employment.

### 33.6

The establishment will discuss any matter revealed in a Disclosure with the person seeking the position before withdrawing a conditional offer of employment.

## 34. Candidates with Disabilities

### 34.1

Under the Equality Act, it is unlawful for any Trust employee involved in the recruitment process to ask **any** applicant about their disability or health until the applicant has been offered a job (on either a conditional or unconditional basis). This includes asking such a question as part of the application process or during an interview (please note that asking such a question is automatically discriminatory and exposes the Trust to potential legal claims). The only exception to this, where it is lawful to ask about an applicant’s disability or health, is where reasonable adjustments to the interview or other competitive selection process would be needed to enable the applicant to compete on a level playing field with nondisabled candidates. For example, this might include providing and accepting information in accessible formats. The duty to make reasonable adjustments at the selection stage for applicants with disabilities has been built into procedures and candidates are asked to let the establishment know about any access or special requirements in the letter inviting them to interview (see Section 12). If this needs following up on the day, then any questions need to be posed very sensitively and it should be made clear why this question is being asked – i.e. to enable the panel/recruiter to make reasonable adjustments if they are needed.

34.2

Any information on disability or health obtained for the purposes of making reasonable adjustments to the recruitment arrangements should be held separately. This information should not form any part of the decision making about an offer of employment, whether conditional or not.

## 35. Pregnant Applicants

35.1

Applicants who are pregnant at the time they apply for a post must have their pregnancy status disregarded in assessing their suitability for the post. It is unlawful to refuse to recruit a woman because she is pregnant, even if, currently, she is unable to carry out the job for which she is to be employed. This will be the case even if the initial vacancy was to cover another woman on maternity leave. It is also irrelevant that the woman failed to disclose that she was pregnant when she was recruited. A woman is not legally obliged to tell an employer during the recruitment process that she is pregnant because it is not a factor which can lawfully influence the employer's decision.

## 36. Agency and Third-Party Staff

36.1

Employment agencies and businesses must show the establishment that the person put forward for a regulated activity position has been checked against the relevant list of those barred from working with children held by the Disclosure and Barring Service within the last 12 months.

36.2

The establishment must gain written notification from any agency, sole trader or provider to confirm that they have carried out the pre-employment checks as outlined in this policy.

36.3

A record of the checks should be entered on the SCR.

## 37. Trainee/Student Teachers

37.1

Where applicants for Initial Teacher Training are employed at a school, the necessary checks in accordance with the pre-employment checks as outlined above, should be completed. Where trainee teachers are fee-funded it is the responsibility of the Initial Teacher Training provider to carry out the necessary pre-employment checks.

37.2

A record of the checks should be entered on the SCR.

## 38. Placement and Volunteers

### 38.1

Volunteers should be recruited in line with the **iExel SOP Placements and Volunteers Recruitment** and the Trust's Vetting and Due Diligence Policy. The Police Act 1997 (Criminal Records) Regulations 2022 defines a volunteer as "A person engaged in an activity which involves spending time, unpaid (except for travel and other approved out-of-pocket expenses), doing something which aims to benefit someone (individuals or groups) other than or in addition to close relatives".

### 38.2

Voluntary work must be approved by the Principal in line with the **iExel SOP Placements and Volunteers Recruitment** and should not exceed more than one term. The volunteer must complete an application form including 2 referees. Volunteers should be informally interviewed and a copy of the notes retained. The establishment must be clear about the purpose of the placement.

### 38.3

References should be obtained and a thorough training and induction process should be in place. The establishment should retain a personnel file for the volunteer during their engagement with the school.

### 38.4

A volunteer should not be left unsupervised or allowed to work in a regulated activity unless the appropriate checks have been made.

### 38.5

Where a volunteer is engaged with a school in regulated activity and they will teach or look after children on an unsupervised basis or provide personal care on a one-off basis, the establishment must obtain an Enhanced DBS check with barred list check.

### 38.6

Where a volunteer is engaged in regulated activity as above and are supervised on a regular and day to day basis such that "supervision must be reasonable in all the circumstances to ensure the protection of children", the schools must obtain an Enhanced DBS check.

### 38.7

Where a volunteer is engaged with the school in non-regulated activity the school should obtain an Enhanced DBS check.

### 38.8

A record of checks should be entered on the SCR.

## 39. Governors

39.1

Governors should be recruited in line with the Trust's **Governance and Accountability Handbook** and the **Governor Appointment Procedure**.

## 40. Contractors

40.1

The establishment must ensure that the contractor or any employee of the contractor has been subject to the appropriate level of DBS check. Where the appropriate check has not been undertaken the workers should be supervised if they will have contact with children. In the case of emergency repairs, contractors must never be left unsupervised on the premises.

40.2

Where a contractor is self-employed, the establishment should consider obtaining the DBS check as self-employed people are not able to make an application directly to the DBS on their own account.

40.3

The establishment must verify the identity of contractors and their staff on arrival at the school.

40.4

A record of the checks should be entered on the SCR.

## 41. Visitors

41.1

Schools should refer to the **iExel Guidance for Tours by Prospective Parents or Employees** when any prospective employee requests to visit the school.

41.2

Where a visit request is received over the phone, prospective employees should be asked to submit a request in writing which should be forwarded to the appropriate member of the SLT in line with the above guidance for consideration.

## 42. Adults Who Supervise Children on Work Experience

42.1

The establishment will have to consider the specific circumstances of the work experience, in particular the nature of the supervision and the frequency of activity being supervised to determine what, if any, checks are necessary.

42.2

If the work the adult is carrying out with the child is considered regulated activity the establishment should ask the employer to provide evidence to show that the person is not a barred person. Establishments are not able to request an enhanced DBS check with barred list information for staff supervising children aged 16 to 17.

42.3

If the activity undertaken during work experience is at a 'specified place' such as a school or college, then consideration should be given for the child to complete an Enhanced DBS check. DBS checks cannot be requested for children under the age of 16.

42.4

Any employer which knowingly lets someone on either the DBS Adult First or DBS Children's Barred List have regular activity with a child is committing an offence – therefore, employers should be confident of their staff's background before allowing anyone to come on work experience.

## 43. SLT Selection

43.1

Principal selection is co-ordinated by the Trust Central Human Resources Team.

43.2

Selection Panel composition should be as representative as possible and must include the Head of Human Resources, the Chief Executive of iExel Education Trust or a Trustee, and a representative from the Local Governing Body.

43.3

Senior Leadership Team selection is co-ordinated by the Principal and the process should include representation from the Trust Central Team.

## 44. Internal Vacancies and Candidates

Overview:

44.1.1

The Trust wishes to provide all its employees the maximum opportunity to develop their careers and fulfil their potential. In filling any vacancy, the Trust will encourage applications from suitably qualified internal candidates wherever possible.

44.1.2

The Trust strives to maintain a competent, flexible and quality-conscious workforce. To this end, the Trust aims to provide all employees with the opportunity to develop long-term careers appropriate to their abilities and ambitions. It is the Trust's policy to select the best qualified candidate for a particular position whilst also demonstrating its commitment to recruit or promote employees internally whenever possible.

## 44.2

### Approach:

#### 44.2.1

It is the Trust's position that vacancies should be advertised internally and externally concurrently except in the limited scenarios mentioned in 44.2.6.

#### 44.2.2

This combined approach enables the Trust to provide an opportunity for internal candidates to progress whilst also ensuring that internal candidates can be effectively benchmarked against the external market in order to maintain the high standards expected by the Trust.

#### 44.2.3

By maintaining a mix of internal and external recruitment approaches a number of benefits can be achieved by the Trust as detailed below:

#### 44.2.4

##### Internal Recruitment:

- Builds employee morale and security.
- Allows for succession planning.
- Cost and time savings on induction and training.
- Selection is based on objective reviews of employees.
- Provides career opportunities.

#### 44.2.5

##### External Recruitment:

- Brings new skills to the establishment.
- Encourages competition.
- Increases our employer brand exposure in the sector.
- Brings candidates with current knowledge and qualifications.
- Improves organisational diversity.

#### 44.2.6

On limited occasions, there may be instances when vacancies are not advertised internally and externally concurrently. For example, where it is clear following a review of local internal talent that it would be of more benefit to the Trust to advertise internally within the relevant establishment only.

## 44.3

### Internal Advertising:

#### 44.3.1

Internal advertising will be via the Trust Eteach platform on which all vacancies are currently advertised.

#### 44.3.2

As part of their weekly staff briefing schools should add a standing section titled 'Current Trust Job Vacancies'. This should include the text below and a link to the Trust e-teach page.

#### 44.3.3

Support staff must have successfully passed their probationary period before applying for an alternative role.

#### 44.3.4

The needs of the Trust and the needs of the employee in respect of career development are to be taken into account when considering internal movement between Trust establishments.

#### 44.3.5

All employees are responsible for informing their Line Manager prior to application. The role should be relevant to the employee's aspirations and in line with discussions held during performance management meetings.

### 44.4

#### Shortlisting Applications and Feedback:

##### 44.4.1

All applications should be assessed objectively against the criteria set out in the Person Specification, following the standard shortlisting guidance within Section 10. There is no obligation for the recruiting manager to interview all internal applicants. Internal applications must be evaluated against the person specification and ordinarily, will only be interviewed if all of the essential criteria is met.

##### 44.4.2

All internal candidates should have the shortlisting and/or interview selection outcome decision confirmed as soon as possible following the shortlisting or selection process.

##### 44.4.3

All internal candidates who are not successfully shortlisted for an interview should be given the opportunity to be given verbal and/or written feedback. Good practice is to provide feedback verbally. This should be constructive and supportive to ensure development areas are recognised and appropriate measures are put in place to improve future applications.

### 44.5

#### Employee Transfers between Trust Establishments:

##### 44.5.1

There may be some scenarios where employees carrying out the same role e.g. Art Teacher at the same level wish to transfer between Trust Schools.

##### 44.5.2

This may be due to a number of factors such as travelling distance or personal circumstances.

##### 44.5.3

The Trust recognises that where possible it can be beneficial to facilitate a transfer rather than potentially losing a valued employee.

#### 44.5.4

Where an employee wishes to transfer to another Trust establishment and a position becomes available the process will differ on a case by case basis thus it is essential that HR is contacted for guidance prior to transfer process taking place.

### 44.6

#### Pre-Employment Checks:

##### 44.6.1

Where a current Trust employee is successful in obtaining employment at another Trust establishment without a break in service, the employee's current establishment should securely forward the successful candidate's personnel file to the new establishment.

##### 44.6.2

It is the responsibility of the new establishment to ensure that each mandatory pre-employment check is completed and recorded on the Single Central Record subject to the exceptions noted below. Sections 15-30 of this Policy provide guidance on the necessary pre-employment checks and how they should be recorded on the **iExel Recruitment Checklist** as and when completed.

##### 44.6.3

Line Managers are required to provide a reference/recommendation to endorse an internal application. Rationale for or against the application should be professional and discussed with the applicant prior to submission. There should be no surprise comments within the reference.

##### 44.6.4

Two written employment references should be obtained directly from internal referees before interview so that any concerns can be explored further with the referee prior to interview and taken up with the candidate at interview. Where the proposed referee is involved in the recruitment process it is acceptable to seek one reference prior to interview and the other following the process if the candidate is successful.

##### 44.6.5

Where an enhanced DBS check (with barred list check, if engaged in regulated activity) has been renewed within 12 months by a Trust establishment, it is not necessary to repeat the check. The transferring employee should bring their DBS certificate for the new establishment to view as evidence that the check is in place.

##### 44.6.6

For any internal candidate whose certificate is older than 12 months, an enhanced DBS check (with barred list check, if engaged in regulated activity) should be completed.

##### 44.6.7

In line with 18.16.1 any Trust employee who moves from a post where they are not working with children to a post in regulated activity should have an enhanced DBS check with barred list check completed irrespective of how recently their current check was completed. An example of this may be when a member of Trust Central Office staff moves to a new role working in a Trust school.

## 44.7

### Induction, Probation and Start Date:

#### 44.7.1

An induction programme will be arranged for each employee and should be planned in accordance with the Induction Policy.

#### 44.7.2

Where an internal candidate has already passed their probation period successfully, it will not be necessary for them to complete a second probation period in their new role. Their performance should be monitored in line with Trust Appraisal Policy.

#### 44.7.3

The start date should be mutually agreed between the employee's current line manager and the new line manager. It should be as soon as reasonably practicable, taking into account the needs of both establishments.

## 45. Record Keeping

### 45.1

The establishment must be able to demonstrate that they have robust and accurate records of the recruitment processes they have followed, and pre-employment checks they have carried out.

### 45.2

The establishment will retain all recruitment applications and associated paperwork, for six months after which applications from unsuccessful candidates will be securely destroyed. The establishment should also regularly review the associated record keeping and this will be further reviewed as part of regular regulatory inspections (e.g. Ofsted, ESFA).

### 45.3

The establishment must keep and maintain a Single Central Record (SCR) of recruitment and vetting checks, on the following people:

#### 45.3.1

All staff (including supply staff, and teacher trainees on salaried route) who work at the school.

#### 45.3.2

All others who have been chosen by the school to work in regular contact with children; this will cover contractors, volunteers and governors who also work as volunteers within the school.

#### 45.3.3

People brought into the school to provide additional teaching or instruction for pupils but who are not staff members; for example, a specialist sports coach or artist.

#### 45.3.4

All members of the Local Governing Body.

#### 45.4

As a minimum, the Single Central Record will include whether the following checks have been carried out or certificates obtained, and the date on which each check was completed/obtained:

##### 45.4.1

An identity check.

##### 45.4.2

A barred list check.

##### 45.4.3

An enhanced DBS check/certificate.

##### 45.4.4

A prohibition from teaching check.

##### 45.4.5

A Section 128 check.

##### 45.4.6

An EEA sanction/restriction check.

##### 45.4.7

Further checks on people living or working outside the UK.

##### 45.4.8

A check of professional qualifications.

##### 45.4.9

A check of two references.

##### 45.4.10

Verification of person's mental and physical fitness to work.

##### 45.4.11

Verification of professional status.

##### 45.4.12

Verification that the individual is disqualified under the Childcare (Disqualification) Regulations 2009 (where applicable).

##### 45.4.13

A check to establish the person's right to work in the United Kingdom.

##### 45.4.14

Any further checks required where a person has lived or worked outside the UK.

##### 45.4.15

Vetting and due diligence check (where applicable).

#### 45.5.1

##### Application Documentation:

###### 45.5.1.1

Signed application form.

###### 45.5.1.2

Interview notes.

#### 45.5.2

##### Pre-employment Checks:

###### 45.5.2.1

Evidence of the candidate's identity.

###### 45.5.2.2

Evidence of the employee's right to work in the UK.

###### 45.5.2.3

Two references.

###### 45.5.2.4

Copies of any relevant qualifications.

###### 45.5.2.5

Occupational health assessment.

###### 45.5.2.6

Evidence of prohibition checks (where appropriate).

###### 45.5.2.7

Disqualification declaration (where appropriate).

###### 45.5.2.8

Satisfactory vetting and due diligence checks (selected roles only).

#### 45.5.3

##### Employment Information:

###### 45.5.3.1

Job Description and Person Specification.

###### 45.5.3.2

Job Advert.

###### 45.5.3.3

Signed Conditional Offer of Employment.

###### 45.5.3.4

Signed Contract.

#### 45.5.4

##### Payroll Information:

#### 45.5.4.1

Personal Details Form.

#### 45.5.4.2

All other payroll requests and submissions.

#### 45.6

The Trust Central Human Resources Team will complete an audit of recruitment documentation.

## 46. Training

#### 46.1

The Trust has a duty to ensure their employees receive the appropriate level of training at the right time.

#### 46.2

All staff will participate in training on safeguarding on a regular basis. Establishments must provide training to all existing staff annually and all new staff during their induction. This training most focus on identifying and reporting abuse and neglect and safe working practices. Staff will be advised to maintain an attitude of 'it could happen here' where safeguarding is concerned (see the Safeguarding (Child Protection) Policy for full details).

#### 46.3

The school will ensure an appropriate number of staff and governors receive Safer Recruitment training. Records will be kept and refresher training will be arranged in line with the Safeguarding (Child Protection) Policy.

#### 46.4

The establishment will ensure that all staff undertake appropriate training to enhance their awareness and ability to promote equality of opportunity and to tackle discrimination.

#### 46.5

An Electronic Personnel File will be maintained on the system where the following documents will be accessible.

## 47. Relevant Documentation

#### 47.1

iExel Recruitment Requisition Form.

#### 47.2

iExel Recruitment Checklist.

#### 47.3

iExel Job Description and Person Specification.

- 47.4  
iExel Application Form – Teaching.
- 47.5  
iExel Application Form – Non Teaching.
- 47.6  
iExel Template Advertisements.
- 47.7  
iExel Shortlisting Matrix.
- 47.8  
iExel Template Reference Form (and associated email request).
- 47.9  
iExel Invite to Interview Letter.
- 47.10  
iExel Assessment Guidelines.
- 47.11  
iExel Interview Record.
- 47.12  
iExel Assessment Record.
- 47.13  
iExel Assessment Outcome Summary.
- 47.14  
iExel Conditional Offer of Employment.
- 47.15  
iExel Withdrawal of Offer Letter.
- 47.16  
iExel Right to Work in the UK Acceptable Documents Form.
- 47.17  
iExel Acceptable Documents Form.
- 47.18  
iExel DBS Handling Record.
- 47.19  
iExel Disqualification Declaration Form.
- 47.20  
iExel Confirmation of Appointment Letter.

47.21  
iExel Personal Details Form.

47.22  
HMRC Starter Checklist.

47.23  
iExel Close Relatives' Register.

47.24  
iExel Single Central Record.

47.25  
Guidelines on Undertaking DBS Checks.

47.26  
iExel SOP Placements and Volunteers Recruitment.

47.27  
iExel Vetting and Due Diligence Policy.

47.28  
iExel Vetting and Due Diligence Pro-Forma.

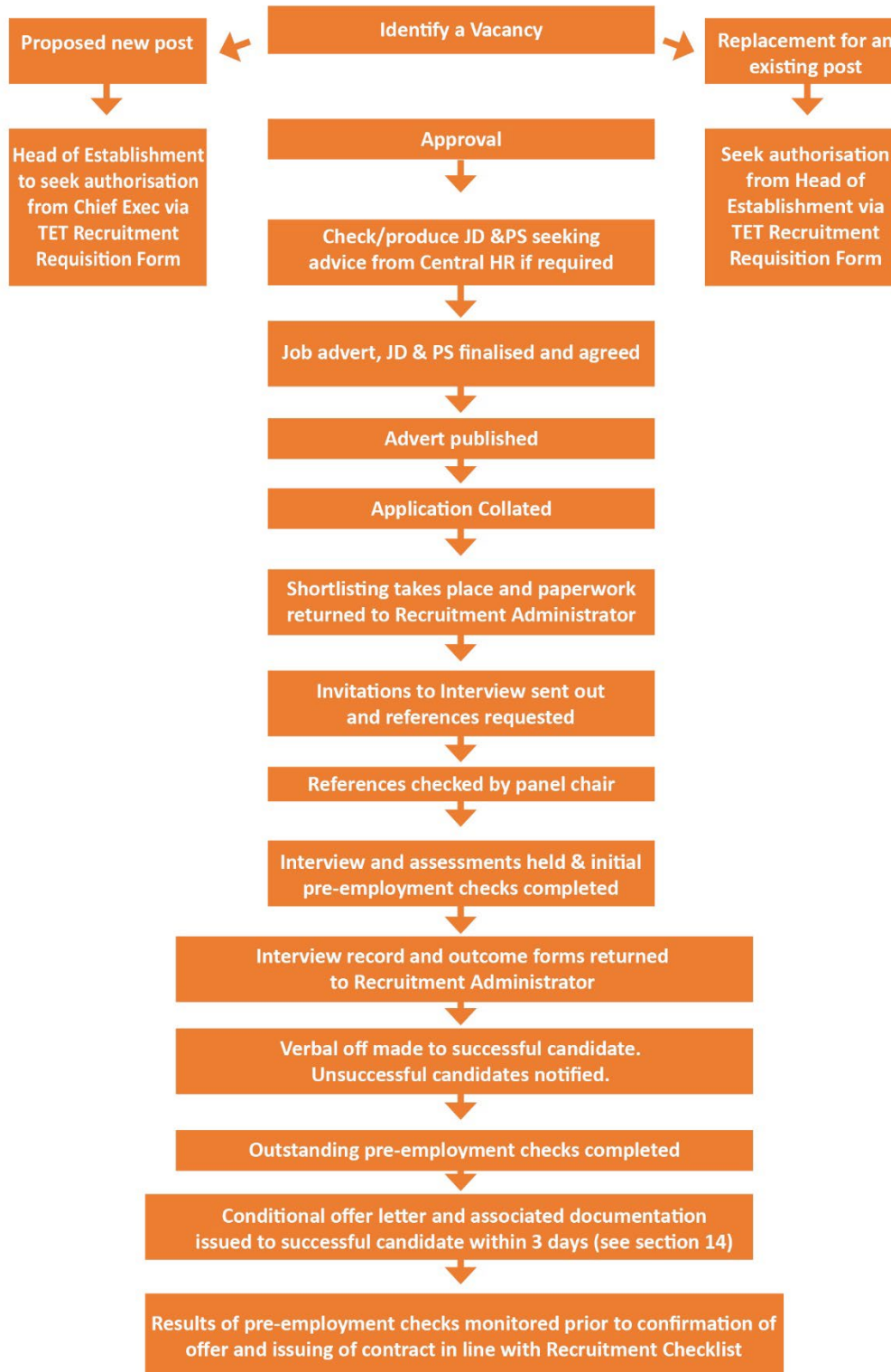
## 48. Monitoring, Evaluation and Review

48.1  
The policy will be promoted and implemented throughout all Trust establishments.

48.2  
The Trust will monitor the operation and effectiveness of arrangements referred to in this policy at each Trust establishment.

48.3  
The Trust will review this policy every two years in consultation with each Trust establishment.

# Appendix 1: Recruitment and Selection Overview



## Appendix 2:

# Role and Function of the Selection Panel

The interview is an important selection technique. The main aim of the interview is to determine the candidate's suitability for the post. However, the interview is also used to give prospective employees a picture of the Establishment and the job, and maintain and promote the image of the Trust as an employer of choice.

All interviews should be conducted by a panel of interviewers. Although it is possible for interviews to be conducted by a single person, it is not recommended. Panel interviews reduce the risk of personal biases and provide a variety of differing opinions and experiences, thus ensuring that decisions are based on more than one person's assessment. Every effort should be made to keep the Selection Panel as small in number as possible with three to five members on a panel, including a HR Representative and **at least one panel member should have completed Safer Recruitment training.**

An appointment to the Senior Leadership Team (SLT) of an Establishment will be led by the Principal with the Head of HR on the panel.

An appointment to the role of Principal will be co-ordinated by the Trust Central Human Resources Team.

Members of the Selection Panel should:

- have the necessary authority to make decisions about appointment; be appropriately trained.
- have met before the interview to agree what standards they are looking for during the interview; determine who will ask what questions and what assessment criteria they will use in accordance with Person Specification.

The interview should be an exchange of information which will help to assess the candidate against the agreed objective criteria laid down in the Person Specification, and, in the case of education roles, will also explore the candidate's suitability to work with children. The interview is not just a test for candidates. It is also a test of a panel member's ability to listen, probe, assess and be objective and fair.

It is important to ensure that the interviews are carried out in a systematic and structured way in order to minimise the extent to which personal bias affects recruitment decisions.

Panel members should have already agreed a set of interview questions, and therefore know which areas of the Person Specification they wish to explore at interview. They may also wish to explore more in-depth information on other aspects of the application form.

The Chair has an important role on the panel, which includes:

- making necessary introductions to the candidates at interview and explaining the format of the interview process.
- ensuring that the candidate feels sufficiently at ease to be able to communicate effectively during the course of the interview.

- ensuring that the Selection Panel has probed the candidate sufficiently well to enable a valid suitability assessment to be made regarding the candidate's ability to do the job.
- concluding the interview and informing the candidate what the subsequent stages of the process are.

All candidates should be asked the same core questions. If the candidate has, in answer to a previous question, appeared to answer a subsequent question, that question should still be asked and the candidate given the opportunity of addressing the question directly, or supplementing the information already given. Supplementary questions may be asked by any panel member, but should only be used as clarification and elaboration of a candidate's answers i.e. probing for further information and clarity in order to evidence specific information to satisfy the original question.

The candidate's attitude to children and young people must be assessed through conversation and careful questioning. It is highly recommended that the full list of questions be viewed by all members of the panel prior to questions being agreed. Candidates must be asked a question in relation to safeguarding.

At the end of the interview, all candidates should be asked:

Do you still wish to be considered for this post?

It is important that all interviewers keep notes to ensure that a properly reasoned assessment can be made as to whether a candidate meets the requirements of the Person Specification and whether they are suitable to work with children. It also enables a fair comparison to be made between candidates at the end of the assessment process.

Any paperwork used to record assessment and selection decisions may be used in candidate feedback, in the event of a recruitment complaint, or in the event of any legal action taken by an unsuccessful applicant and will, therefore, need to be retained for a minimum period of six months. The panel chair should also complete the **iExel Assessment Outcome Summary** by transferring the information from each individual **iExel Assessment Record**. Once the panel have made a decision to offer the post, this should also be recorded on the **iExel Assessment Outcome Summary**.

## Appendix 3: Scope and Content of Interviews

### **Prior to the interview**

Ensure that interviews are held in a room whereby you will not be disturbed by interruptions such as the telephone, individuals knocking on the door and where there is little noise that may distract the candidate and members of the Selection Panel.

### **Format of the interview**

In order to ensure consistency and fairness throughout the process, the format of the interview should be the same for each candidate. This ensures that candidates are questioned in a similar way and that all candidates are given the same information about the job. However, candidates may be probed on aspects of their application form.

### **Introduction to the interview**

The introduction to the interview will vary depending upon the role being advertised. However, the basic introduction should cover an introduction to Establishment and Trust, an introduction to the panel members, an explanation of the format of the interview, and an explanation of the reason why notes are taken during the interview.

### **Suggested structure for Interview**

1. Chair of the panel welcomes candidate into the interview room and thanks them for attending.
2. Chair of the panel to introduce him/herself and members of the Selection Panel.
3. Chair of the panel provides a basic introduction to the Establishment and the Trust.
4. The Chair of the panel explains the format and structure of the interview process. It is helpful for a script for the introduction to be prepared in advance so, for example, candidates are advised about the approximate length of time allowed for the interview; that candidate will be asked a series of questions by the panel; that the interview questions will require the candidate to demonstrate their answer with some specific examples of their experience in order for the panel to gain as much objective evidence as possible; that if the candidate is unsure of the question or is confused, they can ask for clarity or assistance; they will be given an opportunity to ask any questions towards the end of the interview; they will be required to produce any relevant evidence of qualifications and identity etc. at the end of the interview (unless taken on arrival); about the assessment procedure; when a decision is likely to be made, and how it will be communicated to them.
5. The Chair opens the interview.
6. The Chair gives the candidate the opportunity to ask questions of the Panel.
7. The Chair ensures that relevant documents have been evidenced in relation to the candidates' qualifications and identity, etc.
8. The Chair closes the interview and thank the candidate for their time and interest in the post.
9. The chair asks the candidate whether or not they wish to pursue their app

### **Preparing Interview Questions**

Use open questions. Open questions encourage candidates to elaborate and give more information. Closed question only invite a Yes/No answer which will provide limited information and should be used only to confirm basic facts.

The framing of a question is important. Open questions are pre-fixed by words such as what, when, where, why, how, tell me, explain etc. For instance, "Do you think school trips are valuable?" may

bring a simple 'yes' or 'no' in reply. The same question rephrased, "What do you consider to be the value of school trips?" will be more likely to elicit a considered reply.

Avoid leading questions which reveal the desired answer, for example: Would you describe yourself as a patient person? Do you see yourself as well organised? Can you handle stress?

All interview questions should relate to the key selection criteria which have been developed from the Job Description. Questions should provide the candidate with the opportunity to use examples of past behaviour. For example, questions should ask how they approached specific tasks, how they overcame any deficiency in the past or dealt with specific situations.

In addition to assessing and evaluating the applicant's suitability for the particular post, the Selection Panel should also explore:

- the candidate's attitude toward children and young people.
- his or her ability to support the Establishment's agenda for safeguarding children.
- his or her ability to support the Establishment's Values and Ethos.
- gaps in the candidate's employment history; and
- Concerns or discrepancies arising from the information provided by the candidate and/or the referee.

The candidate's attitude to children and young people can be assessed through conversation and careful questioning. A selection of questions which can be used to explore these attitudes is below.

Questions should seek candidate's aspirations and motivations. Knowing why candidates are interested in the position can provide insight and understanding of the person and how much research they have done about the work involved in the post. Candidates must also be asked a question in relation to the Values and Ethos of the Establishment.

Interviewers must always probe incomplete answers. Probing questions are the most effective way to get complete answers. Use them where there is a discrepancy between what is said and behaviour, evasion, contradiction and a discrepancy between two answers. Interviewers must know the law and take care that questions do not breach Equal Opportunity legislation and do not discriminate. There is no reason to know someone's age, marital status or sexual preference to determine if they can perform the job and whether they may be of harm to children.

**It is highly recommended that the full list of questions be viewed by all members of the panel prior to questions being agreed.**

Care should be taken when agreeing questions. Below are some examples of how a poorly phrased question can be reworded to elicit a more informative reply.

Not	'What do you think about your experience of the School?'
But	You have looked around the school this morning. Would you like to comment on what you have seen?
Not	Do you think you have the skills and experience the job demands?
But	What do you believe are the important tasks facing the successful candidate for this job?
Not	How important is parental contact?
But	In what ways have you worked with parents in your previous posts?
Not	What would you do if you had an irate parent appear in school?

But	Give me an example of a difficult situation you have handled
Not	What is your attitude to your work?
But	Can you give us some instances of the disappointments and satisfactions you have had in your work in the last year or so?
Not	We have a code of conduct for all our staff. Would you have any problems working to it?
But	We have a code of conduct for all our staff. How do you think this could affect your work?
Not	Why do you think schools have child protection policies?
But	Part of our role in education, is to safeguard and promote the interests of children, what would your role be in this area? What support would you expect?

### Other Examples

Introductory Question	Tell us about yourself and what attracts you to this position?
General Question	What do you think are the professional challenges facing school staff/ teachers/etc. today, especially in a culture, which is seeing so many changes?
Motivation	What motivates you to work with children and young people? Tell us about your interests outside work?
Ability to form and maintain professional relationships and personal boundaries	Can you give us an example of where you have had to deal with bullying behaviour between pupils? What did you do? What could you have done differently?  Have you come across sexually abusive behaviour between young people? What behaviours would worry you and why?  What are your views about media coverage which suggests that children and young people make up allegations of abuse by teachers?
Values and Ethos	The Values and Ethos of our school are distinctive. How would you contribute to promoting these ethics?
Emotional resilience to challenging behaviour and young people	Give an example of when you have had to respond to challenging behaviour, how did it affect you emotionally? What are your coping mechanisms?
Safe Environments	What do you think constitutes a safe and caring environment?  What kind of policies should a school/college have to support a safe environment?  What do you think are your responsibilities in protecting children?

### Supplementary Questions

Asking an open-ended question allows the candidate to provide a general overview of a particular issue. It is then necessary to supplement with more probing follow-up questions. This technique is known as 'funneling' and serves to provide specific details which the interviewers need to know.

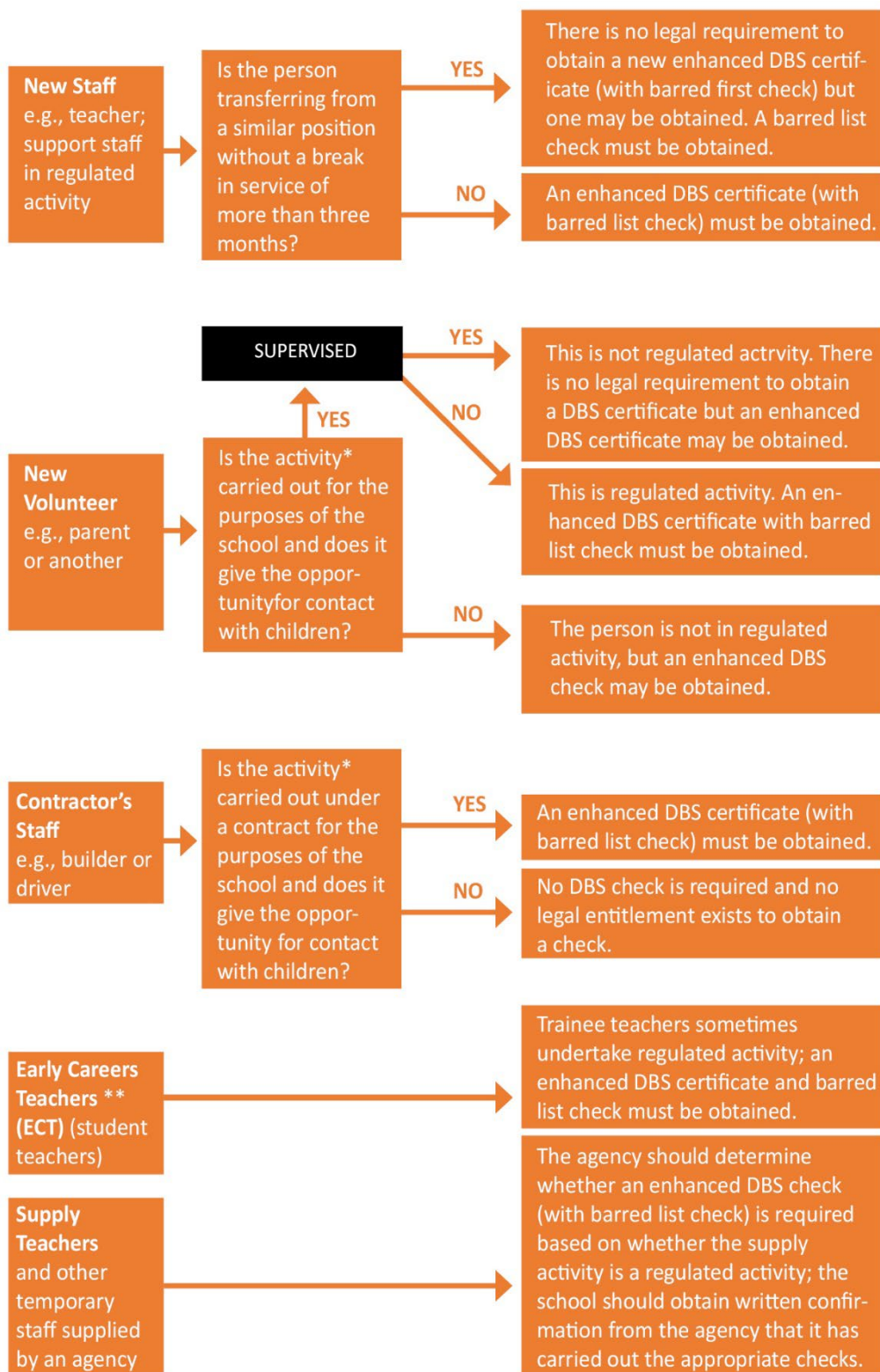
## Appendix 4: Right to Work in the UK

Candidates must provide ORIGINAL documents from either List A or List B of Home Office acceptable documents checklist

List A		
A1	A passport showing the holder, or a person named in the passport as the child of the holder, is a British citizen or a citizen of the UK and Colonies having the right of abode in the UK	<input type="checkbox"/>
A2	A passport or national identity card showing the holder, or a person named in the passport is the child of the holder, is a national of a European Economic Area country or Switzerland	<input type="checkbox"/>
A3	A Registration Certificate or Document Certifying Permanent Residence issued by the Home Office, to a national of a European Economic Area Country or Switzerland	<input type="checkbox"/>
A4	A Permanent Residence Card issued by the Home Office, to the family member of a national of a European Economic Area Country of Switzerland	<input type="checkbox"/>
A5	A current Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office to the holder indicating that the person named is allowed to stay indefinitely in the UK, or has no time limit on their stay in the UK	<input type="checkbox"/>
A6	A current passport endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has the right of abode in the UK, or has no time limit on their stay in the UK	<input type="checkbox"/>
A7	A current Immigration Status Document issued by the Home Office to the holder with an endorsement indicating that the named person is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK, together with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.	<input type="checkbox"/>
A8	A full birth or adoption certificate issued in the UK which includes the name(s) of at least one of the holder's parents or adoptive parents, together with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.	<input type="checkbox"/>
A9	A birth or adoption certificate issued in the Channel Islands the Isle of Man or Ireland, together with an official document giving the person's permanent National Insurance Number and their name issued by a Government Agency or a previous employer.	<input type="checkbox"/>
A10	A certificate of registration or naturalisation as a British Citizen, together with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.	<input type="checkbox"/>

List B – Group 1		
B1.1	A current passport endorsed to show that the holder is allowed to stay in the UK and is currently allowed to do the type of work in question.	<input type="checkbox"/>
B1.2	A current Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office to the holder which indicates that the named person can currently stay in the UK and is allowed to do the work in question.	<input type="checkbox"/>
B1.3	A current Residence Card (including an Accession Residence Card or a Derivative Residence Card) issued by the Home Office to a non-European Economic Area national who is a family member or a national of a European Economic Area country or Switzerland or who has a derivative right of residence.	<input type="checkbox"/>
B1.4	A current Immigration Status Document containing a photograph issued by the Home Office to the holder with a valid endorsement indicating that the named person may stay in the UK, and is allowed to do the type of work in question, together with an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.	<input type="checkbox"/>
List B – Group 2		
B2.1	A Certificate of Application issued by the Home Office under regulation 17(3) or 18A(2) of the Immigration (European Economic Area) Regulations 2006 to a family member of a national of a European Economic Area country or Switzerland stating that the holder is permitted to take employment which is less than 6 months old together with a Positive Verification Notice from the Home Office Employer Checking Service.	<input type="checkbox"/>
B2.2	An Application Registration Card issued by the Home Office stating that the holder is permitted to take the employment in question, together with a Positive Verification Notice from the Home Office Employer Checking Service.	<input type="checkbox"/>
B2.3	An Application Registration Card issued by the Home Office stating that the holder is permitted to take the employment in question, together with a Positive Verification Notice from the Home Office Employer Checking Service.	<input type="checkbox"/>
B2.4	A Positive Verification Notice issued by the Home Office Employer Checking Service to the employer or prospective employer, which indicates that the named person may stay in the UK and is permitted to do the work in question.	<input type="checkbox"/>

## Appendix 5: Processing DBS Checks





\*Activities listed under the guidance definition of regulated activity and which are carried out 'frequently'


\*\*Early Careers Teachers (ECT) DBS should be provided by the teaching university.



One St James Business Park, Augustus Street, Bradford, BD1 5LL

 0330 383 2000

 [Office@iExcel.org.uk](mailto:Office@iExcel.org.uk)

 [www.iExcel.org.uk](http://www.iExcel.org.uk)

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