

Disclosure and Barring Service Policy (SHINE Multi Academy Trust)

*‘Providing Pupils with
firm foundation whilst
developing their
uniqueness and allowing
them to shine’*



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1. Policy Statement and to whom it applies to

The safety and welfare of children and young people is paramount.

The SHINE Multi Academy Trust and its member schools are fully committed to safeguarding and promoting the welfare of children and young people and to the rigorous implementation of Disclosure and Barring Service (DBS) procedures and arrangements. This is achieved by providing a clear policy and set of procedures that are open to all users and is available on the Trust and school websites.

The Trust complies fully with the DBS Code of Practice, with an undertaking to treat all job applicants and volunteers fairly and not to discriminate on the basis of a conviction or other information revealed. Having a criminal record will not necessarily prevent an individual from being employed by the Trust or its schools. This will depend on the nature of the role, professional suitability and the circumstances, nature and back ground of the offences.

This policy applies to all school staff (permanent, temporary and casual employees), trustees and governors, volunteers and other third parties engaged in work for or on behalf of the Trust, regardless of their grade, position, hours worked per week or length of contract.

DBS checks will be sought where a job is eligible to be checked and after an applicant has been made a conditional offer of employment.

The Trust reserves the right to require a disclosure and barring check or follow up on any of its employees.

2. Summary of roles and responsibilities

2.1. SHINE Trustees and Board must:

- Seek appropriate advice and recommendations when making changes to this policy.
- Agree a cycle of monitoring and review of the effectiveness of this policy, procedures and record keeping.
- Approve and communicate changes to this policy to all Trust employees via the Executive Group.
- The policies and procedures are in line with GDPR regulations

2.2. Local Governing Bodies must:

- Ensure that a DBS checking procedure is in place and that checks are carried out lawfully and in line with the policy.
- Ensure that the Single Central Record of DBS is maintained and that the appropriate security measures relating to storage and access are in place, in line with GDPR regulations

2.3. The CEO and Head teachers from all member schools must:

- Ensure that all school based employees and volunteers, who are eligible (see later definitions) have an Enhanced DBS check.

- Ensure that the employee/volunteer complies with the responsibilities expected of them and presents their disclosure certificate for checking, once it has been received.
- Use their discretion in allowing an individual to begin work pending receipt of the overseas criminal records information, providing the individual has a clear Enhanced Disclosure.
- Nominate a member or members of staff to be an authorised verifier to check the ID Documents of those people completing a DBS application form.
- Decide whether an appointment will be confirmed or the offer withdrawn, where there is a positive disclosure.
- Consider whether information disclosed by employees, in relation to a change in criminal record status, impacts on their continued suitability for employment.
- It is the Head teacher's responsibility to ensure that the record keeping guidelines regarding DBS Disclosures are adhered to and are in line with GDPR regulations.

2.4. Job Applicants, Employees, Trustees and local Governing Bodies members and Volunteers must:

- Cooperate fully with the checking procedures.
- Must complete the online application for an Enhanced DBS check for regulated activity, provide the relevant documentation to the member schools' authorised verifier and present the disclosure certificate to the School's Leadership Team or School Business Manager or equivalent as soon as possible once it is received.
- Regularly maintain an application and subscribe to the update service within the timeframe required by the DBS service.
- Inform the School's Leadership Team of any changes to their circumstances, which affects their criminal records status. This may impact upon the individuals' suitability to undertake their role and will be reviewed. Failure to disclose information may result in disciplinary action being taken.

2.5. School Business Manager (and authorised verifier, if SBM fulfils this role)

- Keep the Single Central Record is kept up to date and ensure that any gaps in information are followed up immediately.
- Inform the Head teacher of any 'unclear content' during the Enhanced DBS check application and verification of documents procedure.
- Inform and discuss with the Head teacher or CEO any content of an employee's or volunteers 'unclear' disclosure. The Head teacher will then make a decision on the appropriate steps to follow, based on the type of conviction, caution, reprimand or warning the employee received and the role of the employee.
- Carry out relevant checks in terms of contractors' responsibilities in ensuring they have followed procedures and provisions in relation to the safeguarding of children. this should include obtaining details of their policies in relation to checks and that the appropriate DBS disclosure has been obtained.
- If the authorised verifier, check documents and complete the DBS online application before submitting it to the DBS service provider.

- If the authorised verifier, keep themselves informed of what is expected of them in this role and the current guidance being offered to them by the DBS.

3. Definitions

3.1 Disclosure & Barring Service

The Disclosure and Barring Service (DBS), previously the Criminal Records Bureau (CRB), allows authorised users to obtain information about a person's criminal record for approved purposes. Criminal record certificates (known as disclosures) are issued by the DBS.

The DBS offers schools a means to check the criminal background of job applicants and where relevant existing employees for specific categories of posts, to ensure that they do not have a criminal history that would make them unsuitable.

3.2 Eligibility

The Rehabilitation of Offenders Act (ROA) 1974 (Exceptions) Order 1975 (amended 2013), lists the types of work, employment or professions for which employers can legally obtain a DBS check. All employees in posts which are eligible will be required to undergo a DBS check.

Where a post is classified as **regulated activity** (see 3.6 below) under the provisions of the Safeguarding Vulnerable Groups Act 2006 (as amended by the Protection of Freedoms Act 2012), an Enhanced Disclosure will be required.

3.3 Standard Disclosure

To be eligible for a standard DBS check the position **must** be included in the Rehabilitation of Offenders Act (ROA) 1974 (Exceptions) Order 1975

A Standard disclosure contains details of all spent and unspent convictions, cautions, reprimands and final warnings held on the Police National Computer.

3.4 Enhanced Disclosure

All school based employees are eligible for an Enhanced Disclosure and are included in both the ROA Exceptions Order and in Police Act Regulations.

An Enhanced Disclosure is the highest level of criminal record check. It will contain the same information as the standard check but also includes a check of police records held locally.

Any role identified as **regulated activity** (see 3.6), will be eligible for an Enhanced disclosure with a check of the DBS barred lists.

3.5 Barred Lists

The Children's List holds information on individuals who have been classified by the DBS as unsuitable to work with children and the Adults List, which holds information on individuals

classified as unsuitable to work with (vulnerable) adults. Individuals placed on either list are legally barred from working with the relevant group and employers are prohibited from employing them in regulated activity.

3.6 Regulated Activity

The definition of **regulated activity relating to children** (i.e. activity that a barred person must not do), comprises:

(i) Unsupervised activities:

- teaching, training, instructing, caring for or supervising children, or providing advice/guidance to children on physical, emotional or educational well-being, or driving a vehicle only for children (and their carers/ supervisors);

(ii) Work for a limited range of establishments ('specified places'), with opportunity for contact: for example, schools, children's homes, childcare premises. (This does not include work by supervised volunteers).

Work under (i) or (ii) is regulated activity only if done frequently. Frequently means carried out by the same person (once a week or more often), or on 4 or more days in a 30-day period or in some cases, overnight. ("Overnight" in relation to (i) makes these activities regulated activities if carried out - even once - between 2am and 6am and with the opportunity for face-to-face contact with children).

(iii) Relevant personal care, for example:

- physical help with (or supervision/prompting of/other training and advice related to) eating and drinking - for reasons of illness or disability
- physical help with (or supervision/prompting of/other training and advice related to) toileting, washing, bathing or dressing - for reasons of age, illness or disability;
- health care (all forms of health care relating to physical or mental health) by, or supervised by, a health care professional;

(iv) The day to day management or supervision on a regular basis for a person providing activities (i) - (iii) which would be regulated if unsupervised.

(iv) Registered childminding; and foster-carers.

3.7 Update Service (recommended)

Individuals undergoing a DBS check from June 2013 onwards can choose to register with the Update Service on an annual basis. The service keeps DBS certificates up to date so that they are transferable from role to role (within the same workforce i.e. children/adults), where the same type and level of check is required.

Where applicants have subscribed to the DBS Update Service, and meet the criteria outlined in section 8.2 regarding breaks in service, the schools will seek their consent to undertake an on-line check of their DBS status. Applicants will still be required to produce a hardcopy of their most recent DBS certificate. Where the status check says that the DBS certificate remains current (i.e. no new information recorded), then there is no requirement to undergo a full DBS check.

4. Principles across the SHINE Multi Academy Trust

4.1. Storage and Access

Disclosure information is kept securely with access strictly controlled and limited to those who are entitled to see it as part of their duties and in accordance with GDPR regulations

4.2. Handling

In accordance with section 124 of the Police Act 1997, disclosure information is only passed to those who are authorised to receive it, in the course of their duties. Schools must maintain a record of all those to whom disclosure information has been revealed and recognise that it is a criminal offence to pass this information onto anyone who is not entitled to receive it.

4.3. Usage

Disclosure information is only used for the specific purpose for which it was requested and for which the applicant's full consent has been given.

4.4. Retention

The schools will keep a record of the date of issue of a disclosure, the name of the subject, the type of disclosure requested, the position for which the disclosure was requested, the unique reference number of the disclosure and the details of the recruitment decision taken. The schools will hold this information on the Single Central Register.

Only the information detailed above can be held by the schools. Hard copies of an individual's DBS certificate must not be kept.

Disclosure information in relation to the withdrawal of job offers is not retained for any longer than is absolutely necessary. This is generally for a period of up to six months, to allow for the consideration and resolution of any disputes or complaints. If, in very exceptional circumstances, it is considered necessary to keep disclosure information for longer than six months, the schools will consult the DBS about this and will give full consideration to the GDPR rights of the individual subject before doing so. Throughout this time, the usual conditions regarding safe storage and strictly controlled access will prevail.

5. Disclosure with Content

Your DBS provider will inform you if they are advised of a disclosure with content. The CEO or Head teacher should arrange an appointment with the individual to view the paper disclosure in full and complete a Positive Disclosure Decision Sheet (PDDS) (see Appendix 1) which is designed to help them make a balanced decision on whether to employ the individual, and acts as a record of the decision-making process. The completed form will be **retained in schools and placed on the employee's personal file.**

6. Appointment Decision

Where the DBS Disclosure contains no content, or the Head teacher has considered a disclosure with content and determined that it is appropriate to continue with the appointment; the individual will be issued a contract of employment. The employment will be confirmed where it has been offered subject to satisfactory checks.

Where the Head teacher in consultation with the CEO, does not wish to continue with the appointment, the SBM with HR advice, will assist with the written correspondence to the individual withdrawing the offer of employment.

7. Guidance

7.1. Commencing Employment

Safeguarding and Education - the Department for Education strongly recommends that disclosures are obtained for individuals before they take up post. However, they recognise that in certain instances there may be a need to employ at short notice. In these circumstances, Head teachers have the discretion to employ staff who have not yet received their disclosure, provided that:

- a) they have been checked against "List 99"/Children's Barred List now known as Section 142 of the Education Act 2002 .
- b) all other relevant pre-appointment checks have been carried out.
- c) they do not have unsupervised access to children until their full disclosure is received.

Casuals and Volunteers

These are most frequently parents and carers, and students from other school settings. As good practice, we request an enhanced DBS check from parents and carers who regularly read with children or often accompany on trips but as casuals and volunteers **do not** come under **regulated activity** and are not with children unsupervised, we do not require the DBS before an individual starts.

7.2 Re-checks

There is no legal requirement or mandatory time period for undertaking DBS re-checks on existing employees. A new disclosure must be gained where an individual moves to a new position that:

- a) requires a check at a higher level, or
- b) involves responsibilities not previously checked (e.g. moving from children's services to adults' services).

For all employees, casuals, volunteers and agency workers, where there is a break in service of 3 months or more the schools will require a recheck (not including maternity leave). Where employees have subscribed to the DBS Update Service, the schools will seek their consent to undertake an on-line re-check of their DBS status.

If there are concerns that an individual has acquired or is in the process of acquiring another conviction, caution, reprimand, warning or has been added to the either of the Barred Lists, the Head teacher will need to discuss with the CEO and SBM, whether a DBS re-check or other action is necessary.

7.3 Engaging Contractors and Tendering for Services

The CEO/Head teachers/SBM's who have responsibility for engaging contractors such as cleaning and catering staff and tendering for services must ensure that the terms of any contract make clear the contractor's responsibility to ensure that the provisions relating to safeguarding children are followed. This should include obtaining details of their policy in relation to DBS and Barred List checks, and where appropriate, ensuring that the appropriate level of DBS Disclosure has been obtained and appropriate records are maintained. These requirements should be explicitly written into any contract or Service Level Agreement.

7.4 Engaging Agencies and Agency Staff including Trainee Teachers

Heads of School/SBM's with responsibility for engaging agencies and agency staff must ensure that the terms of any contract make clear the agency's responsibility to ensure that provisions in relation to safeguarding children are followed. This should include obtaining details of their policy in relation to undertaking DBS checks (including barred list checks), ensuring a Disclosure, at the right level, is repeated at least every 3 years. If the person has been out of the workforce for 3 months or over or their circumstances change, another DBS check must be done by the agency,

Heads of School/SBM's should obtain written confirmation from the agency that all the appropriate checks have been carried out before accepting the member of staff. Details of these checks need to be set out in the Single Central Record.

7.5 Peripatetic Staff

All staff employed centrally by the School or Trust and other teams, organisations and services who are working directly with children must have an Enhanced check for regulated activity.

7.6 Visitors from other parts of the SHINE Multi Academy Trust

All staff in the SHINE Multi Academy Trust must have an Enhanced check for regulated activity. This is the responsibility of the Chief Executive Officer of the Trust. Where clearance is pending (as it has not been possible to obtain clearance before appointment), the employee concerned will be required to wait for a valid Enhanced Disclosure before visiting any schools or other establishments. where they are likely to have contact with children.

SHINE employees will not need to provide schools with their Enhanced Disclosure. The Trust will update each school's single central record confirming that if their role requires it, all staff working within the SHINE Trust have a valid Enhanced Disclosure. When visiting schools, Trust Employees are required to bring their ID badges, as proof of employment.

7.7 Checking Job Applicants and Employees from Overseas

Newly appointed staff who have lived outside the UK must undergo the same pre-employment checks as other staff. This includes a DBS check as appropriate for the role.

The DBS can only check applicants from the date they arrive in the UK, as it does not have access to overseas criminal records. If an individual has resided overseas within the past five years, they will be advised to obtain a Certificate of Good Conduct and appropriate criminal

checks from the country of residence. Where the applicant has lived in several countries, then all countries must be checked.

Guidance on checking applicants who have spent time overseas can be found on the DBS website at the following link:

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

If the details for the country required are not listed then the individual should contact the relevant embassy to establish the process to be followed.

Where there is a fee payable, then the applicant must pay this fee. Reimbursement will be at the discretion of the Head teacher but will not ordinarily be paid for by the schools.

The Certificate of Good Conduct belongs to the applicant and must remain in their possession; the schools can take a copy of this document. It is the responsibility of the applicant to have these documents translated.

Further Information and Guidance

For further detail about information related to DBS disclosures and procedures, please refer direct to the DBS government website:

<https://www.gov.uk/government/organisations/disclosure-and-barring-service>

Appendix 1.

POSITIVE DISCLOSURE DECISION SHEET

A disclosure with content is a certificate that shows cautions, warnings or convictions. It may show spent and unspent convictions, and for Enhanced checks, it may also show information that a police force deems relevant to disclose based on the nature of the job that the individual will be employed to do.

Before a decision is reached on whether to offer or confirm employment to an individual, the individual should be offered the opportunity to discuss the content of the disclosure with the CEO or Head teacher.

Using this decision sheet, the CEO or Head teacher will make a balanced decision on whether they are satisfied to employ the person / service provider. In completing the form the CEO or Head teacher should not record the specific details of any criminal convictions, cautions etc. appearing on the positive disclosure.

Question	Yes	No	Notes/Manager comments
Does the Children's/Vulnerable Adults Banned List result prohibit the appointment?			If 'yes', it is illegal to employ.
Does the post involve 1 to 1 contact with children or vulnerable adults as customers/clients/employees?			
Is the conviction relevant to the position?			
Are you satisfied with the circumstances of the offence and the candidate's explanation?			
How do you regard the seriousness of the offence?	Please indicate Minor/Significant/Major		
Did the offence occur recently?			How long ago?

At what age were the offences committed?			
What age is the applicant now?			
Have the circumstances that led the applicant to commit the offence changed for the better?			
Did the applicant disclose the conviction(s)/cautions, warnings or reprimands when asked?			If they did not disclose, it may constitute gross misconduct if they are already in post.
Does the role allow the opportunity to reoffend?			
What level of supervision will the person receive?	Please indicate None/Limited/ Regular		
Does the post involve responsibility for finance, items of value or other high risk areas?			
Summary of recruitment/disclosure decision			