



HEARTS ACADEMY TRUST

Recruitment and Selection Policy for Employees and Volunteers

Date reviewed:	September 2023 in line with KCSIE
Further updates:	November 2023 in line with HEARTS Academy Trust recruitment procedures March 2024 in line with HEARTS Academy Trust expectations on qualifications
Next date to be reviewed:	September 2024

Key Amendments

Date	Amendment/Update	
December 2022	KCSIE revisions Update to Disqualification Declaration	
September 2023	4.3 6.2 13.2 14.1.1 14.1.8 15.1 15.3 16.3 16.4	inclusion of Employment references inclusion of satisfactory online search inclusion of online search inclusion of “open references will not be accepted” inclusion of “and staff with delegated financial authority” removal of “for example once a week or more” inclusion of “original disclosure certificate” & “and within five days of receiving the certificate” inclusion of “and within five days of receiving the certificate” inclusion of a link to the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975
September 2023	KCSIE 2022 was replaced with KCSIE 2023	
September 2023	<p>Appendix 2 Point 5 inclusion of “receipt of satisfactory online searches” and “to include a barred list check”</p> <p>Appendix 3 Recruitment requests forms updated to reflect enhancements to internal controls</p> <p>Appendix 6 Revised internal application form</p> <p>Appendix 7 Revised reference request</p> <p>Appendix 8 Revised SD2 Form (updated January 2023)</p>	
March 2024	<p>Introduction - 1.5 Subsections added as per below</p> <p>a) We expect all teachers to have an appropriate teaching qualification. If they do not have this prior to being employed it is a condition of employment that it will be gained within 12 months</p> <p>b) All staff employed as TAs/ HLTAs will have GCSE / English and maths. Headteachers have discretion to support TAs (only) to undertake a maths / English equivalency qualification.</p> <p>c) All staff employed as HLTA will be expected to have or gain a formal HLTA qualification within 18 months of successfully completing their probation period</p> <p>d) All TAs / HLTAs will be expected to work across any year group that the head decides (from nursery to year 6)</p> <p>e) Staff employed as business managers/ strategic business managers will be required to complete the Diploma in School Business Management or an equivalent within 2 years of successfully completing their probation period</p>	

HEARTS Academy Trust is committed to providing a happy, caring and safe learning environment for all within a value led context, where everyone feels valued and grows in confidence and independence.

We promote **HAPPINESS** through a creative, exciting and practical curriculum, which generates a love of, and interest in, learning and a resilience and hope which supports us through challenging times.

Great value is placed on pupils' self **ESTEEM** which is developed through a positive and motivated attitude to learning, a healthy lifestyle, good social skills, self-discipline and a positive self-image.

We promote the highest standards of **ACHIEVEMENT** in all areas of the curriculum and help all pupils to fulfil their potential regardless of gender, race or ability.

We foster **RESPECT and RESPONSIBILITY** for all by establishing good relations between the school, home and community. Pupils are taught respect for themselves, others and the environment. They are also taught to take full responsibility for their own choices and responsibility for themselves and their community.

We encourage **TRUTH** and honesty in all aspects of school life – relationships, work and the curriculum and learn to trust and accept others' individuality and uniqueness.

We develop **SPIRITUALITY and SERVICE** so that calm, quiet, reflective times which support deep thought are part of school life and beauty is appreciated. We promote a service culture that reflects our duty to support and show compassion to all members of the community and not just ourselves.



Children at the HEART

1 Introduction

- 1.1 Recruiting the best people to our trust is vital for our continued success in providing the highest standards of education to our pupils.
- 1.2 Not appointing the right people to our roles can have a negative impact on the performance of our trust.
- 1.3 In carrying out our recruitment processes we:
 - 1.3.1 are committed to the creation of a safe environment for our pupils by operating safer recruitment practices in line with the statutory requirements and guidance.
 - 1.3.2 will comply with the requirements of **Data Protection Legislation** (being (i) the General Data Protection Regulation ((EU) 2016/679) (unless and until the GDPR is no longer directly applicable in the UK) and any national implementing laws, regulations and secondary legislation, as amended or updated from time to time, in the UK and then (ii) any successor legislation to the GDPR or the Data Protection Act 1998, including the Data Protection Act 2018). Our Data Protection Policy sets out how we will comply with Data Protection Legislation.
 - 1.3.3 will comply with the requirements of the Equality Act (2010) and are committed to ensuring that throughout our recruitment and selection processes no applicant is disadvantaged or discriminated against because of the protected characteristics of age, disability, gender, gender re-assignment, marriage or civil partnership, pregnancy or maternity, race, religion or belief and sexual orientation.
- 1.4 In the very exceptional cases where we are required to discriminate due to an occupational requirement this must be approved by the board of trustees who will provide reasons for this requirement.
- 1.5 Recruitment will be solely on the basis of the applicant's abilities and individual merit as measured against the criteria for the job. Qualifications, knowledge, experience and skills will be assessed at the level that is relevant to the job.
 - a) We expect all teachers to have an appropriate teaching qualification. If they do not have this prior to being employed it is a condition of employment that it will be gained within 12 months
 - b) All staff employed as TAs/ HLTAs will have GCSE / English and maths. Headteachers have discretion to support TAs (only) to undertake a maths / English equivalency qualification.
 - c) All staff employed as HLTA will be expected to have or gain a formal HLTA qualification within 18 months of successfully completing their probation period
 - d) All TAs / HLTAs will be expected to work across any year group that the head decides (from nursery to year 6)
 - e) Staff employed as business managers/ strategic business managers will be required to complete the NQBM or an equivalent within 2 years of successfully completing their probation period
- 1.6 If an applicant makes the trust aware, at any stage of the recruitment process, that they have a disability then reasonable adjustments must be considered to ensure the applicant is not disadvantaged by the process.

1.7 We are committed to inclusivity and accessibility.

2 Roles and responsibilities

2.1 It is the responsibility of the board of trustees to:

- ensure there are effective policies and procedures in place for the safe and effective recruitment of all staff and volunteers and for the engagement of other adults in accordance with statutory guidance and legal requirements;
- monitor compliance with those policies and procedures;
- elect members to sit on selection panels for the appointment of Heads of School, Senior Leaders and other appointments as required;
- approve the appointment of Head, Senior Leaders, and teachers.

2.2 It is the responsibility of the Head of School, and other managers involved in recruitment to:

- apply robust and effective recruitment and selection processes;
- ensure that safer recruitment practices are in operation and that **all** appropriate checks are carried out on **all** staff, volunteers, third-party workers and others engaged to work to a satisfactory standard.

2.3 Delegated Authority

2.3.1 The board of trustees has delegated authority to the Head of School to make all staff appointments outside of the leadership group.

2.3.2 The board of trustees has delegated the appointment of senior staff to the Head of School.

2.3.3 The board of trustees has delegated the appointment of support staff who are members of the leadership team to the Head of School.

The board of trustees may be involved in staff appointments below leadership level but the final decision will rest with the Head of School. The Head of School may delegate the selection process of staff outside of the leadership group to other managers, but remains responsible for the decision to appoint.

3 Scope and Purpose

3.1 The purpose of this policy is to set out our processes for recruiting, selecting and appointing any employee to work within our trust.

3.2 Sections 15 on Disclosure and Barring Service checks also applies to volunteers in our trust.

4 Safer Recruitment

4.1 All recruitment must be in line with this policy to ensure that we identify, deter and prevent people who pose a risk of harm from working with our pupils.

4.2 The recruitment of all applicants and volunteers to our trust must, without exception, follow the processes of safer recruitment. All offers of employment will be subject to us being satisfied that the applicant or volunteer is a suitable person to work with children and young people.

- 4.3 Any person involved in recruiting to our trust must read the "Keeping children safe in education" guidance (or updated statutory guidance) produced by the DfE and our trust's child protection and Employment reference policy. These can be obtained from our website (<https://www.heartsacademytrust.co.uk/policies>).
- 4.4 All recruitment must be planned to ensure that there is adequate time available to recruit safely.
- 4.5 Any person who becomes aware that this policy is not being followed during recruitment must inform the Head of School/Designated Safeguarding Lead immediately.
- 4.6 All of the checks described in Sections 13 and 14 must be carried out and have been determined as satisfactory before an applicant can start their employment in the trust.

5 The Recruitment Procedure

Please see *Appendix 5* for a flow chart summarising the procedure. Further key details are provided below.

5.1 Identifying a vacancy

Before any action is initiated, careful consideration will be given to the necessity of filling the post, the tasks to be undertaken and the skills, attributes and behaviours required to do the job. Where necessary, amendments to the role and staffing structure will be approved by the board of trustees. CFO and EHT authorisation for all recruitment will be required by submitting *Appendix 3*.

5.2 Job Descriptions and Person Specifications

A job description will be required for all posts which describes the duties and responsibilities of the post. It must be up to date, accurate and specific to the role. **If the role includes DSL/DDSL or DPO/DDPO responsibilities, this will be stated on the job description.** The job description must also include a person specification which outlines all of the necessary skills, abilities, experience, attitude, behaviours, qualifications and knowledge requirements for the post.

All job descriptions and person specifications will refer to the responsibility for safeguarding and promoting the welfare of children.

Under Part 7 of the Immigration Act 2016, the Public Sector fluency duty requires state funded schools to ensure candidates for their customer facing roles have the necessary standard of spoken English (or English or Welsh in Wales). For example, a teaching assistant required to communicate with pupils to support their learning, would be viewed as operating in a public-facing role.

The salary for the job will be evaluated at this point and the actual salary range will be advertised.

5.3 Setting timescales

The length of the recruitment process will vary depending on the type of vacancy, the frequency of the desired publication, whether it is necessary to advertise both internally and externally and the length of the required notice periods.

5.4 Recruitment pack

The recruitment pack will vary according to the post but will consist, as a minimum, of:

- Application form
- Job description
- Person specification
- Information about the post, including responsibilities, hours and salary
- The Recruitment and Selection Policy statement – please see appendix 2

5.5 Visits

Informal discussions and visits prior to application are welcomed by prior arrangement.

6 Advertising

- 6.1 Any vacant position will be advertised via the most effective channels to ensure we attract the highest calibre of applicants. This may include local/national media, social media, parent newsletters and websites. Internal only advertisements may be considered where clear career development and progression paths are identified, this method will be used if there is a reasonable expectation that sufficient applicants can be shortlisted, or if the position is for additional responsibilities or staff are at risk of redundancy.

All agency workers working at the school and employees working on fixed-term contracts will be informed of any vacancies within the school.

- 6.2 All advertisements will have the following statement about safeguarding children and young people and the requirement to have an enhanced DBS check, which includes a children's barred list check:

'HEARTS Academy Trust is committed to safeguarding and promoting the welfare of children and expects all staff and volunteers to share this commitment. All offers of employment are subject to the receipt of a satisfactory application form, satisfactory references that meet the requirements as set out in KCSIE, satisfactory online search and an Enhanced DBS check, to include a children's barred list check, and where applicable, a prohibition from teaching check will be completed for all applicants.'

- 6.3 All advertisements will also include the following statement if the post is exempt from the Rehabilitation of Offenders Act 1974 and the amendments to the Exceptions Order 1975, 2013 and 2020:

'This post is exempt from the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (2013 and 2020). This means that certain convictions and cautions are considered 'protected' and do not need to be disclosed to employers, and if they are disclosed, employers cannot take them into account. Guidance about whether a conviction or caution should be disclosed can be found on the Ministry of Justice website:

[https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974.](https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974)

- 6.4 All applicants can view a copy of our Records Retention Policy on the trust website, the policy sets out how we will gather, process and hold personal data of individuals during and after the recruitment process.

7 Application form

All applicants are required to complete the trust's standard application form. Alternative application formats will be accepted from disabled applicants, but such applicants must provide all of the

information required as detailed in the trust's standard application form. Curriculum vitae's will not be accepted.

All parts of the application form must be completed in full and the form signed by the candidate, electronically if necessary. Incomplete application forms will not be accepted and will be returned for completion or checked with the candidate. Where an applicant is shortlisted, any discrepancies or gaps in employment will be discussed at the interview.

Applicants should be aware that providing false information is an offence and could result in the application being rejected or, in summary dismissal if the applicant has been selected

The short-listing panel are responsible for scrutinising the application forms and identifying any gaps in employment or other areas that may affect an applicant's suitability to work with children and young people. A satisfactory explanation for any concerns, including any concerns as a result of online searches must be obtained from the applicant during the interview process if possible, or prior to the issuing of a conditional offer.

The equal opportunities monitoring form will be removed from the application and not provided to the short-listing panel.

Internal applicants should complete an Internal Application Form. Please see appendix 6

It is an offence to apply for a role if the individual is barred from engaging in regulated activity relevant to children.

8 References

- 8.1 All offers of employment will be conditional upon receipt of at least two satisfactory written references. References will:
 - 8.1.1 be requested for all shortlisted applicants, including internal applicants; (see appendix 7 for reference request form)
 - 8.1.2 include the applicant's current or most recent employer. References are to be completed by a senior person with appropriate authority (if the referee is school or college based, the reference should be confirmed by the Headteacher or Principal as accurate in respect to disciplinary investigations) and where an applicant for a teaching post is not currently employed as a teacher, will include the applicant's most recent employer as a teacher;
 - 8.1.3 ask the current employer for details of any capability history in the previous two years, and the reasons for this;
 - 8.1.4 not be accepted if they are 'to whom it may concern' letters;
 - 8.1.5 request information on the applicant's suitability to work with children and young people from the last employer where the applicant worked with children (if not currently working with children);
 - 8.1.6 be verified with the person who provided the reference and, where the reference is provided electronically, verify that it is from a legitimate source;

- 8.1.7 be clarified with the referee where the information is vague or insufficient;
 - 8.1.8 establish the reason for the candidate leaving their current or most recent post;
 - 8.1.9 be compared with the information set out in the application form and any discrepancies discussed with the candidate;
 - 8.1.10 be requested before the interview; and
 - 8.1.11 be explored further with the referee and with the applicant during the interview if necessary.
- 8.2 Where it has not been possible to obtain references before the interview any concerns that are subsequently raised will need to be resolved before the appointment is confirmed.
- 8.3 In order to comply with the Equality Act 2010, information relating to sickness absence will only be requested after a conditional offer of employment has been made.
- 8.4 For internal candidates currently filed references will be checked and a decision made by the panel whether it is appropriate to obtain a further reference. A further reference could be from a line manager/Head of Department or the Headteacher as appropriate.

9 Shortlisting

- 9.1 All applications are anonymised by the central recruitment team before being shared with shortlisting panels.
- 9.2 Applicants will be short-listed against the requirements of the job description and person specification. The same people should carry out the short-listing and the interviews and this should be at least two people. The outcome of the short-listing process will be recorded and retained.
- 9.3 The short-listing panel are responsible for scrutinising the application forms and identifying any gaps in employment or other areas that may affect an applicant's suitability to work with children and young people. A satisfactory explanation for any concerns, including any concerns as a result of online searches must be obtained from the applicant during the interview process / prior to any offer of employment, and discussed with the applicant.
- 9.4 Due to limited resources and the large number of applications often received, only shortlisted candidates will be notified of the outcome of their application.
- 9.5 Shortlisting will sometimes take place before the closing date, when large numbers of satisfactory applications are received or at times of high demand for teaching staff. This will be noted on the advertisement.
- 9.6 As part of the trusts commitment to safeguarding children and to further enhance the shortlisting process, in line with measures identified in statutory guidance relating to safeguarding practice, the trust has partnered with "Essex County Council" and "Social Media Check" to undertake online searches via a candidate self-registration portal. These checks are designed to identify anything that could give rise to a safeguarding concern in what has been said or done online.
- 9.7 Management of online searches and the collation of information will be carried out independently from those managing the shortlisting process. Only information relevant to safeguarding concerns

obtained from the search will be passed over for consideration during the recruitment process for use during the shortlisting process.

10 Interviews

- 10.1 Candidates who are selected for interview will be notified as soon as possible. Invitation to interview will be confirmed in writing. Adequate time will be allowed between invitation and interview to allow for pre-employment checks to take place and to allow candidates adequate time to prepare for their interview.
- 10.2 A face-to-face interview must take place for all applicants to all posts. The use of video conferencing, Skype, Facetime or other similar technologies is acceptable for this purpose in exceptional circumstances only with prior agreement with the trust.
- 10.3 All those involved in interviewing must be properly prepared to undertake the role, which may involve appropriate interview training. At least one person on the interview panel must have passed the appropriate safer recruitment training.
- 10.4 The purpose of the interview is to assess the merits of each applicant against the job description and person specification, to establish their suitability for the post and to work with children and young people.
- 10.5 Interviews should be conducted with a minimum of two interviewers on the panel, ideally with an equal gender balance, to enable one interviewer to assess the applicant, observe and make notes, whilst the applicant talks to the other interviewer.
- 10.6 Before the interview commences the interview, panel should have:
 - 10.6.1 prepared appropriate questions for the role;
 - 10.6.2 prepared appropriate questions to test the applicant's suitability to work with children and young people;
 - 10.6.3 identified any areas for further probing, e.g., if a criminal record has been declared, any information about past disciplinary action/allegations, or if there are gaps in employment etc;
 - 10.6.4 agreed assessment criteria which reflects the person specification; and
 - 10.6.5 decided a structure to the interview and established which member of the panel will ask which questions.
- 10.7 A set of common questions relating to the requirements of the post will be asked of each applicant. Their response will determine whether that is followed up through further questioning.
- 10.8 Any gaps in employment history must be explored during the interview process.
- 10.9 Candidates shortlisted for interview will be asked about their suitability to work with children. Areas that may be concerning and lead to further questions include:
 - implication that adults and children are equal;
 - lack of recognition and/or understanding of the vulnerability of children;
 - inappropriate idealisation of children;
 - inadequate understanding of appropriate boundaries between adults and children; and

- indicators of negative safeguarding behaviours;

10.10 Shortlisted candidates will be required to complete a self-declaration of their criminal record or information that would make them unsuitable to work with children. Applicants will only be asked to disclose and discuss criminal convictions and/or cautions which are not protected under the amendments to the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (2013 and 2020) that may deem them unsuitable. Where this is provided electronically, the shortlisted candidate will be asked to physically sign a hard copy at the point of the interview.

10.11 Screening applicants using social media

The school will notify shortlisted applicants **if** it intends to screen candidates prior to interview by checking social media sites. The purpose of such screening will be to ascertain whether a candidate demonstrates appropriate conduct, behaviour and suitability for employment in a school environment. Any such screening will not be used in isolation and will be discussed with candidates at interview where necessary.

11 Other selection methods

11.1 In addition to a face-to-face interview with the interview panel a variety of other selection methods may be used, such as:

11.1.1 Observation of teaching practice in our trust or in the applicant's current school or academy;

11.1.2 One or more additional panel interviews (for example, a panel made up of pupils from our academy;

11.1.3 A presentation;

11.1.4 In-tray exercises; and

11.1.5 Psychometric testing.

11.2 Those responsible for deciding the arrangements for recruitment to a specific post will determine the selection method(s). They will be relevant and appropriate to the role and will be based on the requirements for the particular post as set out in the job description and person specification.

11.3 Candidates will be informed in advance if any selection methods are to be used in addition to a face-to-face interview and what these are.

11.4 Every effort will be made to accommodate any special requirements necessary to enable candidates to participate in the process, including reasonable and practical adjustments.

12 Level of language proficiency

12.1 Under the "fluency duty" (Part 7 of the Immigration Act 2016), public authorities are required to ensure that workers in public-facing roles are fluent in English (or Welsh in Wales). Public-facing roles are those members of teaching and support staff who, as a regular and intrinsic part of their role, are required to speak to members of the public (including students in schools).

12.2 The trust will accept a range of evidence of spoken English or Welsh language ability as follows:

- competently answering interview questions in English or Welsh;

- possessing a relevant qualification for the role attained as part of education in the UK or fully taught in English or Welsh by a recognised institution abroad,
- passing an English or Welsh spoken language competency test or possessing a relevant spoken English or Welsh qualification at CEFR Level B1 or above, taught in English or Welsh by a recognised institution abroad (and from September 2017 this includes Welsh second language GCSE).

13 Employment offers

- 13.1 The choice of candidate will be determined by the majority view of the interview panel – this will be a points-based system based on answers provided to the interview questions. The panel may identify a first choice and any reserve choice candidate(s).
- 13.2 The successful applicant will be advised that they are the preferred candidate and a conditional offer made, subject to the following conditions and in line with section 14 Pre-employment checks of this policy:
- a. satisfactory pre-employment checks
 - b. a minimum of two references as detailed above under “references”
 - c. an enhanced DBS including children barred list check
 - d. online search
 - e. fitness to work declaration

Applicants will be made aware that their application form will form part of their contract, therefore it is imperative that all information contained within applications forms is factual and accurate. Any inaccuracies may lead to an offer of employment being withdrawn.

Applicants are advised not to resign from their current job until they have received confirmation that all conditions have been satisfied.

A firm offer cannot be made until all pre-employment checks have been completed. Appendix 4 – DBS requirements.

- 13.3 Once all pre-employment checks have been satisfactorily received, a firm offer of employment will be made and the contract of employment (or a contract variation/amendment as applicable) will be issued. The contract/contract variation/amendment will be issued by the first date of employment.
- 13.4 If the preferred candidate does not accept the post, the panel will consider the option of contacting any reserve candidate(s). This will only be done where these candidates meet the criteria for the role.
- 13.5 Unsuccessful interviewed candidates will be advised accordingly. All candidates can request feedback on their interview/selection. This feedback must be given by the shortlisting/interview panel.

14 Pre-employment checks

- 14.1 An offer of appointment to the successful applicant will be conditional until satisfactory completion of the mandatory pre-employment checks which will include the following:

- 14.1.1 receipt of at least two satisfactory written references (one of which must be their current or most recent employer). Open references will not be accepted;
 - 14.1.2 verification of the candidate's identity, preferably from current photographic ID and proof of address;
 - 14.1.3 verification of the candidate's mental and physical fitness to carry out their work responsibilities;
 - 14.1.4 verification of qualifications where relevant;
 - 14.1.5 verification of professional status where applicable. For teachers, this will include checking that the individual has the required teaching qualification and has successfully completed any statutory induction and is not subject to a prohibition order issued by the Secretary of State if required, through the Teacher Services System (Teacher status check via the Teaching Regulation Agency (TRA));
 - 14.1.6 an SD2 form is to be completed and returned, once a satisfactory enhanced DBS check is received (see Section 15), the SD2 form will be securely destroyed. (see appendix 8)
 - 14.1.7 Satisfactory online searches
 - 14.1.8 for management positions (applicable to governors/trustees, Head of School, members of the Senior Leadership Team, departmental heads and staff with delegated financial authority only), verification that they are not subject to a section 128 direction by checking the Teacher Services System;
 - 14.1.9 for teachers and other employees who hold QTS who are working in non-teaching roles, verification that they are not subject to a prohibition order by checking the Teacher Services System;
 - 14.1.10 for teachers, satisfactory check to determine any restrictions/sanctions that have been imposed in other EEA member states, through the provision of a letter of professional standing from the professional regulating authority in the country that they qualified. ¹
 - 14.1.11 a clear children's barred list check (except supervised volunteers) if working in regulated activity;
 - 14.1.12 verification of right to work in the United Kingdom, including EU Nationals; please refer to the home office website for up-to-date information
<https://www.gov.uk/government/publications/right-to-work-checklist>
 - 14.1.13 any further checks where the applicant has lived or worked outside of the UK including receipt of criminal record information from overseas;
 - 14.1.14 confirmation that the applicant is not disqualified from providing childcare and is not disqualified from working in these settings under the 2018 Childcare Disqualification Regulations. Please refer to appendix 1.
- 14.2 All checks must be confirmed in writing, retained on the personnel file and recorded in the single central record (SCR) and in accordance with the trust Retention Schedule.

¹ EEA regulator restrictions do not prevent an individual from taking up teaching positions in England, however, employers should consider the circumstances leading to the restriction when assessing a candidate's suitability to be employed.

- 14.3 **TRA Teacher Services System check** - This is a free service available for employers and potential employers to view the record of any trainee, newly qualified or full qualified teacher – with the exception of teachers who have achieved QTS through holding qualified teacher learning and skills (QTLS).

This free service can be accessed at <https://interactions.signin.education.gov.uk>

The individual teacher record allows you to view the record of any trainee, newly qualified or fully qualified teacher held on NCTL’s database of teachers. The record will display:

- Teachers’ personal details
- Initial teacher training qualifications
- Qualified teacher status
- Induction status
- Supplementary qualifications

The Teacher Regulation Agency can also provide advice to schools / academies regarding the UK equivalency of qualifications that have been obtained by overseas applicants.

Individuals who successfully pass their induction will receive a certificate from the Teacher Regulation Agency and their statutory induction information (including the date of completion).

- 14.4 **QTLS status for Further Education Teachers.** Further Education Teachers who have been awarded QTLS by the Society for Education & Training (SET) and are members of the SET will be recognised as qualified teachers in schools and academies. There is no need to carry out a check on these teachers via the NCTL Teacher Services System as there is no need for them to apply to the NCTL. A certificate from the SET is sufficient evidence.

The Society of Education & Training holds and maintains the national register of all QTLS holders, including those teaching in schools. Schools and academies remain responsible for decisions on employing QTLS holders and should check with the SET that a teacher has QTLS status before they are offered a qualified teacher position.

15 Disclosure and Barring Service (DBS) checks - new employees and volunteers

- 15.1 The trust will carry out a risk assessment to determine if a DBS check is required for each volunteer in accordance with Keeping Children Safe in Education. If a volunteer is assessed as requiring a DBS check, the following DBS checks will be undertaken for new appointments, before the employee or volunteer starts work:

Who?	Definition	Type of check
Employees who will be engaging in regulated activity	As an educational institution which is exclusively or mainly for the provision of full-time education to children, HEARTS Academy Trust is an establishment specified in the relevant legislation. Activity carried out in this establishment will therefore be regulated activity relating to children if it meets the	An enhanced DBS check with children’s barred list check will be obtained

	<p>definition in the relevant legislation, including that it is carried out:</p> <p>Frequently by the same person; or</p> <p>On more than three days in any period of 30 days.</p> <p>Note – personal care of a child because of age, illness or disability including physical help with eating, toileting, washing, bathing or dressing is always regulated activity regardless of how frequently it is carried out.</p>	
Unsupervised volunteers	As above	<p>An enhanced DBS check with children’s barred list check will be obtained</p> <p>Those applying for Chair of Trustee posts (after 01.04.17) must also have their identity verified for a stipulated professional as part of their DBS check as per the below link:</p> <p>https://www.gov.uk/government/publications/identity-verification-for-new-chairs-of-trustees</p>
Supervised volunteers	<p>Where an individual is a volunteer (e.g., carrying out activity that is unpaid) they will not be engaging in regulated activity if:</p> <p>They are being supervised by someone that is in regulated activity; and</p> <p>The supervision is regular and day to day (e.g., it is ongoing); and</p> <p>The supervision is reasonable in all the circumstances to ensure the protection of children (this may take into account for example, the age (including the variation in ages), number and vulnerability of children the individual is working with, the nature of the work and opportunity for contact with children, whether other individuals are helping to look after them and how many workers a supervisor is supervising).</p>	<p>We are unable by law to obtain a barred list check on a supervised volunteer. We will however obtain an enhanced DBS check (with no barred list check) for supervised volunteers.</p>

- 15.2 In exceptional circumstances a new employee or unsupervised volunteer may be able to start before the enhanced DBS check has been received, but not before the children's barred list check has been completed. The trust must ensure that appropriate supervision and a risk assessment is in place until the DBS check has been received. The risk assessment should be reviewed and updated weekly and in place for a maximum of 3 weeks.
- 15.3 DBS certificates will only be issued to the applicant. All applicants must produce the original disclosure certificate when requested to do so, and within five days of receiving the certificate. The disclosure will be scrutinised to ensure it is authentic and to detect any fraud. The DBS disclosure number and date of the check must be recorded in the Single Central Record (SCR). We are not required to take a copy of your DBS certificate; however, we may choose to do so for decision-making purposes. Any copy will be held for no longer than necessary, and up to a period of six months and be processed in line with Data Protection Legislation.
- 15.4 Any applicant who refuses to produce their DBS disclosure will not be able to start work at the trust and the conditional offer will be withdrawn as satisfactory checks are not in place. Any volunteer who refuses to produce their disclosure will not be able to volunteer in the trust OR any of our academies.
- 15.5 Applicants (free for volunteers) can have their DBS certificate kept up to date and take it with them from role to role where the same type and level of check is required. Applicants or volunteers should be asked if they have subscribed to this service. The cost of this service is £13 per year. The expectation is that individuals personally fund this if required. Where the applicant or volunteer has subscribed, they should provide the trust with the original disclosure document to be verified and the trust will check the online update for any changes.
- 15.6 Applicants will only be asked to declare convictions and cautions that are not protected under the amendments to the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (2013 and 2020).
- 15.7 Information relating to an individual's criminal record will only be shared with the relevant people to enable the trust to make a decision about their suitability to work with children and young people.

16 Disclosure and Barring Service (DBS) checks - existing employees and volunteers

- 16.1 An enhanced DBS check and a children's barred list check will be carried out for all existing staff and unsupervised volunteers (subject to risk assessment) where their contact with children or young people has increased from that at their time of appointment.
- 16.2 An enhanced DBS and children's barred list check may be carried out on any employee or unsupervised volunteer (subject to risk assessment) where the trust has concerns about an individual's suitability to work with children and young people. An enhanced DBS (no barred list check) may be carried out on any supervised volunteer (subject to risk assessment) where the trust has concerns about their suitability to work with children and young people.
- 16.3 DBS certificates will only be issued to the applicant. The trust expects all applicants to produce the disclosure when requested to do so and within five days of receipt of the certificate. Any existing employee who does not produce their DBS disclosure will be managed through the disciplinary procedure.
- 16.4 All existing employees are required to inform the trust of any change in their criminal record. This includes convictions, cautions, arrests and police investigations which are not protected under the

amendments to the [Rehabilitation of Offenders Act 1974 \(Exceptions\) Order 1975](#) (2013 and 2020). The trust may require all employees to sign a declaration on an annual basis that there has been no change in their criminal record. Action may be taken as a result of any change or any failure to inform the trust of any change.

17 Induction and Probation

- 17.1 All new employees, internally promoted staff and volunteers will be provided with an induction program, which will seek to ensure that they are clear about their job role, the expectations of them in terms of standards of performance and conduct and applicable policies and procedures. Any training and development needs will be identified and supported appropriately.

All staff will be subject to the statutory induction period.

- 17.2 A probationary period applies to all newly appointed staff. As an Academy, a new employee is an employee who is new to the employment of that trust.

See the Probation Procedure for more detail (<https://www.heartsacademytrust.co.uk/policies>).

18 Contractors/third party DBS checks

- 18.1 All contractors or third parties working in schools will need to provide a letter of assurance confirming they follow safer recruitment processes, carry out DBS checks and believe all staff coming in to work on trust premises are suitable to work in a school. DBS numbers should be recorded at the bottom of the letters of assurance. Letters and DBSs should be reviewed annually by Business Managers and filed in either regulated activity (yellow) or unregulated activity (green) files. Details of any contractors/third parties that are not in regulated activity should **not** be entered on to the SCR and should always be supervised when on school premises when children are onsite.
- 18.2 No contractor/third party or visitor will be permitted access to schools without submitting their DBS certificate or update information. DBS information should be provided 24 hours before accessing the school site. Contractors in regulated activity have to provide evidence of a DBS/update service, and their details added to the SCR. Contractors not in regulated activity have to provide evidence of a DBS/update service but these details do not go on the SCR. All third parties need to provide evidence of DBS, only those in regulated activity need to have these details added to the SCR.
- 18.3 Where urgent, unplanned premises work is required, DBS information should be requested and if it is unavailable caretakers **must** accompany contractors/third parties throughout the visit. The trust facilities manager will accompany contractors during tendering visits for **trust** contracts.

18.4 All contractors/third parties and visitors to read the school safeguarding leaflet

19 Engaging volunteers

19.1 The school values the contribution that volunteers make to its community and recognises the positive impact they can have on pupils' learning, experiences and wellbeing. Volunteers are seen by children as safe and trustworthy adults and the same high standards of safer recruitment principles and processes are applied to volunteers as are applied to employed staff.

19.2 Interviewing Volunteers

Volunteers will be asked to have a discussion with the Head of School or another manager prior to commencing their role. This will not be a formal interview but will provide the school with:

- an opportunity to explain the workings of the school and how volunteers fit into that;
- time to ask volunteers for the factual information needed to make a successful placement including any safeguard checks;
- the opportunity to explore their suitability to work with children, including their motivation to work with children and their ability to form and maintain appropriate relationships and personal boundaries;
- an opportunity to determine whether any special health, safety and welfare criteria need to be met.

The volunteer with:

- the opportunity to find out more about the nature of the work;
- information to decide how best they can make a contribution, using their skills and experience;
- how much time they want to commit?

19.3 Application Forms

Volunteers will be asked to complete a basic application form. This provides the information necessary to undertake safeguard checks and to give a picture of the skills and experience the volunteers brings to maximise their contribution and the volunteer's own fulfilment in the assigned activities.

19.4 Role profiles

Volunteers will be given clear and simple description of the roles and boundaries of the voluntary activity.

It is acknowledged that by its very nature, volunteering does not place the same obligations on an individual in terms of attendance etc. as a paid employee. However, it is very much hoped that volunteers will fulfil their commitment as agreed between themselves and the school- this includes consistent attendance and undertaking the agreed tasks. Volunteers will be asked to sign a voluntary agreement as clarification of the commitment they are making to the school and vice versa.

19.5 DBS checks – see section 15

21. Breaches of the policy

- 21.1 Any instances of this policy not being adhered to will be taken very seriously and appropriate disciplinary action will be taken.
- 21.2 Any complaint in relation to this policy, including its application will be managed through the trust's complaints policy or grievance policy (for existing employees).

22. Record keeping and data protection

All written records of interviews, application forms and reasons for appointment or non-appointment will be kept by the trust in line with our Records Retention Policy and in line with the requirements of Data Protection Legislation.

23. Review of policy

This policy is reviewed by the trust in consultation with the recognised trade unions and legislative changes. We will monitor the application and outcomes of this policy to ensure it is working effectively.

As part of our continued commitment to safeguarding children, we require all adults who work for or with HEARTS Academy Trust, to provide accurate and up-to-date information as and when required. This may include, but is not limited to, DBS anniversary application; change of address details; notification of change of circumstances that may impact your ability to fulfil contractual duties etc. Failure to do so may result in disciplinary action being taken and or costs being passed on to you via our payroll system.

Appendix 1



HEARTS ACADEMY TRUST

disqualification declaration form

This form is to be completed by all new staff and volunteers before commencement of employment/voluntary work

Name

Post

Important - Please read in full before completing the declaration
Please answer the questions below to the best of your knowledge and sign the declaration at the end of this form

Please answer each question below by circling yes or no.

Questions relating to you:	
Have you been cautioned or convicted of any offences against a child?	YES NO
Have you been cautioned or convicted of any violent or sexual offences against an adult?	YES NO
Have you been barred from working with children by the Disclosure and Barring Service?	YES NO
Have your children been taken into care?	YES NO
Have or are your children the subject of a child protection order?	YES NO
Has a court order been made in respect of a child under your care?	YES NO
Have you been refused registration or had registration cancelled in relation to childcare or a children's home or have you been disqualified from private fostering?	YES NO

I have answered yes to one or more of the questions above because...

.....
.....
.....
.....

I understand my responsibility to safeguard children and am aware that I must notify the head teacher of anything that may affect my suitability.

I will ensure I notify the head teacher immediately if the answers I have provided to the questions above change at any time.

I give permission for you to contact any previous settings, local authority staff, the police, the DBS, or any medical professionals, to share information about my suitability to care for children.

Signed

Date

If “yes” has been answered to any of the above questions this form is to be signed off by the Head of School:

I have reviewed the answers provided above and no further action is required.

Signed

Date

Or:

I have reviewed the answers provided above and the following action has been taken (continue on additional sheet as required):

.....
.....
.....
.....
.....

Signed

Date

Appendix 2

Recruitment and Selection Policy Statement

1. The board of trustees is committed to:
 - safeguarding and promoting the welfare and safety, and the spiritual, moral, social and cultural development, of children and young people;
 - promoting equality of opportunity and community cohesion where the diversity of different backgrounds and circumstances is appreciated and positively valued;
 - promoting the fundamental British values of democracy, the rule of law, individual liberty and mutual respect and tolerance for those with different faiths and beliefs

The board of trustees expects all staff, volunteers and other workers to share this commitment. It is recognised that this can only be achieved through sound procedures, good inter-agency co-operation and the recruitment and retention of competent, motivated employees who are suited to, and fulfilled in the roles they undertake.

2. The board of trustees recognises the value of, and seeks to achieve a diverse workforce which includes people from different backgrounds, with different skills and abilities. We are committed to ensuring that the recruitment and selection of all is conducted in a manner that is systematic, efficient, effective and promotes equality of opportunity. Selection will be on the basis of merit and ability, assessed against the qualifications, skills and competencies required to do the job. We will uphold obligations under law and national collective agreements to not discriminate against applicants for employment on the grounds of the protected characteristics of age, sex, sexual orientation, marriage or civil partnership, pregnancy, gender re-assignment, disability or health, race (which includes colour, nationality and ethnic origin), religion or belief.
3. We will implement robust recruitment procedures and checks for appointing staff and volunteers to ensure that reasonable steps are taken not to appoint a person who is unsuitable to work with children, or who is disqualified from working with children, or does not have the suitable skills and experience for the role.
4. We will ensure that the terms of any contract with a contractor or agency requires them to adopt and implement measures described in this procedure. We will monitor the compliance with these measures and require evidence that relevant checks have been undertaken for all workers deployed.
5. The following pre-employment checks will be required where applicable to the role and settling:
 - receipt of satisfactory references*
 - receipt of satisfactory online searches
 - verification of identity

- a satisfactory enhanced DBS disclosure to include a barred list check, please see point below, if undertaking Regulated Activity
- verification that you are not on the DBS Children's barred list and therefore not barred from working with Children.
- verification that you are not prohibited from teaching.
- verification of medical fitness
- verification of qualifications
- verification of professional status where required e.g., QTS status
- the production of evidence of the right to work in the UK
- verification of successful completion of/exemption from statutory induction period
- verification that you are not subject to any s128 directions preventing you from holding a management position within a school
- a declaration that you are not disqualified from working with children by virtue of the Childcare (Disqualification) Regulations 2009 or that you have provided a disqualification waiver from Ofsted

NB It is illegal for anyone who is barred from working with children to apply for, or undertake Regulated Activity.

*In exceptional circumstances, where you have good reason not to want your referees to be contacted prior to interview, you should set out your reasons with your application form. Where it is agreed to defer, referees will be contacted immediately after interview before an offer of employment is made.

6. We will keep and maintain a single central record of recruitment and vetting checks, in line with the current DfE requirements.
7. All posts/voluntary roles that give substantial unsupervised access to children and young people are exempt from the Rehabilitation of Offenders Act 1974 and therefore all applicants will be required to declare spent and unspent convictions, cautions and bind-overs (save for those offences that are subject to filtering by the Police).

Applicants will be required to sign a DBS consent form giving consent for the DBS certificate to be copied and shared (within strict guidelines) for the purposes of considering suitability for employment and consent for an online status check to be carried out in the event that the applicant subscribes to the DBS update service.

The board of trustees is committed to ensuring that people who have convictions/cautions/reprimands on their record are treated fairly and given every opportunity to establish their suitability for positions. Having a criminal record will not necessarily be a bar to obtaining a position, except in the case of school settings covered by the Childcare (Disqualification) Regulations 2009 where certain convictions, cautions or warnings will mean an individual is disqualified from working in that setting and will prohibit employment at the school (unless a waiver can be obtained from Ofsted).

Positive disclosures will be managed on a case-by-case basis taking into account the nature, seriousness and relevance to the role. The following factors will be considered in each case:

- The seriousness/level of the disclosed information e.g., was it a caution or a conviction.
- How long ago did the incident(s) occur?
- Whether it was a one-off incident or part of a repeat history/pattern.
- The circumstances of the offence(s) being committed and any changes in the applicant's personal circumstances since then.

- The country where the offence/caution occurred.
- Whether the individual shows or has shown genuine remorse.
- If the offences were self-disclosed on the SD2 form or not (non-disclosure could, in itself, result in non-confirmation of employment on the grounds of trust, honesty and openness).

When making a recruitment decision the board of trustees will disregard any filtered convictions/cautions/reprimands which were disclosed in error.

A previously issued Disclosure and Barring Service Certificate will only be accepted where you subscribe to the DBS update service and the appropriate online status checks have been satisfactory.

The Disclosure and Barring Service has published a Code of Practice and accompanying explanatory guide. The board of trustees is committed to ensuring that it meets the requirements of the Disclosure and Barring Service in relation to the processing, handling and security of Disclosure information.

A copy of our Recruitment Procedure is available upon request.



HEARTS ACADEMY TRUST

SCHOOL

Request to recruit a teacher No

Role: Early, Senior, Consultant etc	
FTE: Salary (or range)	
FTE (full time = 100%, 2 days = 40% etc)	
Start date	
Reason for request	

Request to recruit support staff yes

Role (Midday, Caretaker etc)	
Pay Band (see pay policy, annex G)	
Hours per week	
Work pattern (am) (e.g., 9:00 to 12:00)	
Work Pattern (pm) (e.g., 1:00 to 3:15)	
Weeks: 38 = term time excluding non-pupil days; 39 = term time only; 39+ = term time plus additional weeks)	
Paid weeks per year	
Start date	
Reason for request	

Details of staff leaving & financial implications none

Member of staff leaving (if applicable)	
Current Band and Pay Point	
Last working day	
Notice period	
Date of resignation	
Requirement to repay any fees etc? If yes, give details	

Is this a "like-for-like" replacement? No

Will this alter your approved staffing structure?	
If so, what are the financial costs?	
Please briefly state your rationale for altering the staffing structure NOTE: requests for 1-to-1 SEND support should include the child's costed provision plan, including timetabling to show how the child's needs will be supported by the whole school staff.	

Signed:

Date:

For central team use:

Relevant KPI data:
Comments:

CFO: APPROVE/DECLINE/FURTHER INFO REQUIRED

Signed:

Date:

Executive Headteacher Decision: APPROVED/DECLINED/FURTHER INFO REQUIRED

Signed:

Date:

HEARTS ACADEMY TRUST: RECORD OF LIKE-FOR-LIKE RECRUITMENTS

NOTE: Like-for-like replacements must not lead to additional financial costs or depart from the school's agreed staffing structure. A like-for-like replacement will therefore usually be appointed on or below the same pay point as the person leaving, and the new member of staff will start shortly after the outgoing member of staff has left.

SCHOOL	
ACADEMIC YEAR	2022/23

Teachers

Name of new starter	FTE (%)	Pay point	Start date	Replacing (name)	FTE (%)	Pay point	Last day

Support staff

	Name	Role	Hrs	Paid wks.	NJC pay point	Last day Start date
Leaver						
New starter						

DBS policy guidelines: To be displayed prominently in the school office

All elements are to be monitored during LAB/Trust/HOS/DSL monitoring visits at least twice throughout the year. Visit notes are to be retained in the safeguarding/ office file and shared termly with LAB. BMs must ensure these visits take place. These visit notes will form part of termly safeguarding reports to trustees. The responsible staff member for each aspect is in bold. All DBS are enhanced and must include a barred list check.

New employees

- All new employees to the trust will complete child protection training, induction and submit an enhanced DBS application, irrespective of their last employer or role, **or** submit their DBS update service information. **DSL/ School BM**
- Enhanced DBS applications must be completed before employment commences. A thorough risk assessment is to be completed if employment starts prior to a completed DBS. RAs should be updated weekly (for no longer than 3 weeks). **HOS**
- All staff are encouraged to join the update service at their own cost. **Staff**
- A copy of the DBS certificate should not be retained, unless in exceptional circumstances and for no longer than six months. A copy of the other documents used to verify the successful candidate's identity, right to work and required qualifications must be retained in the personnel file. (KCSIE) **School BM**
- All staff must sign to say key policies (CP, safeguarding, code of conduct, H&S etc...) have been read. **School BM**
- Prohibition checks must be carried out for ALL class-based staff (including pre-schools) – **School BM**

Current staff

- HEARTS staff enhanced DBS certificates are updated every **seven years, for all staff**. Previous DBS numbers and dates checked should be recorded on the SCR in additional notes. **School BM**
- Staff must inform their HOS immediately if they have been subject to a spent conviction, unspent conviction, caution, reprimand or final warning since their DBS was issued. This is a condition of employment. **Staff**
- Prohibition checks must be carried out for ALL class-based staff (including pre-schools)- **School BM**

Staff transferring across HEARTS settings

- New enhanced DBS certificates are not needed unless staff move twice within a 7-year period. **School BM and Trust BM**
- Secondment opportunities/ interim roles are not classed as a move or new role.

Volunteers and Trustees/ LAB members - update service is free

- All volunteers and visitors must sign into the school in the visitors' book. **All office staff**
- All non-governor volunteers must give time weekly and therefore require a trust-enhanced DBS (including barred list check) or submit their DBS update service info. **School BM**
- All volunteers submit an application in writing and undertake induction and safeguarding training during 1st week. **DSL**
- If volunteers have not been in school for a term, their DBS is no longer valid and should be deleted on the SCR. LAB members and trustees are deleted when their term of office expires. **School BM/ HOS**
- Only regular volunteers who commit to weekly volunteering can accompany school visits. **HOS/ senior leaders**
- It is a condition of volunteering that a subscription is made to the update service within four weeks of the receipt of the certificate. **School BMs** to check that this is completed or do it with volunteers.
- Trustees and LAB members require an enhanced DBS and updated subscription. **Trust Governance lead / School BM**

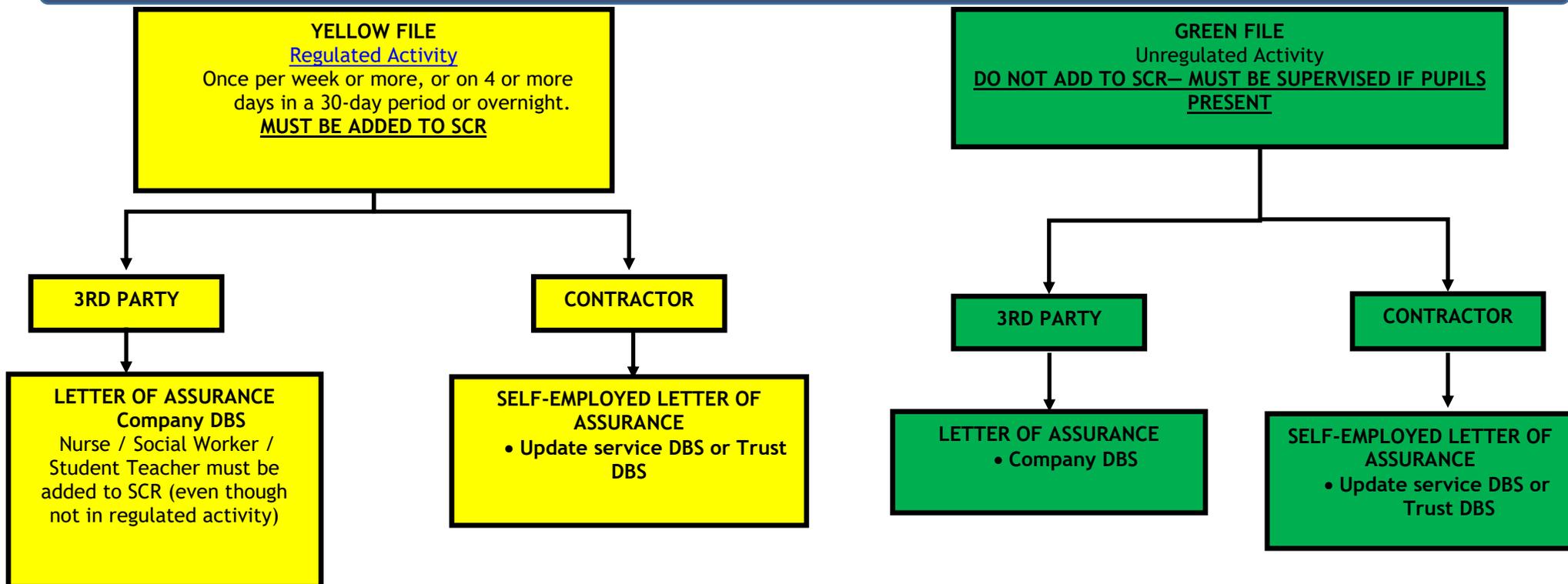
Contractors and visitors (All visitors and contractors must have a prior appointment)

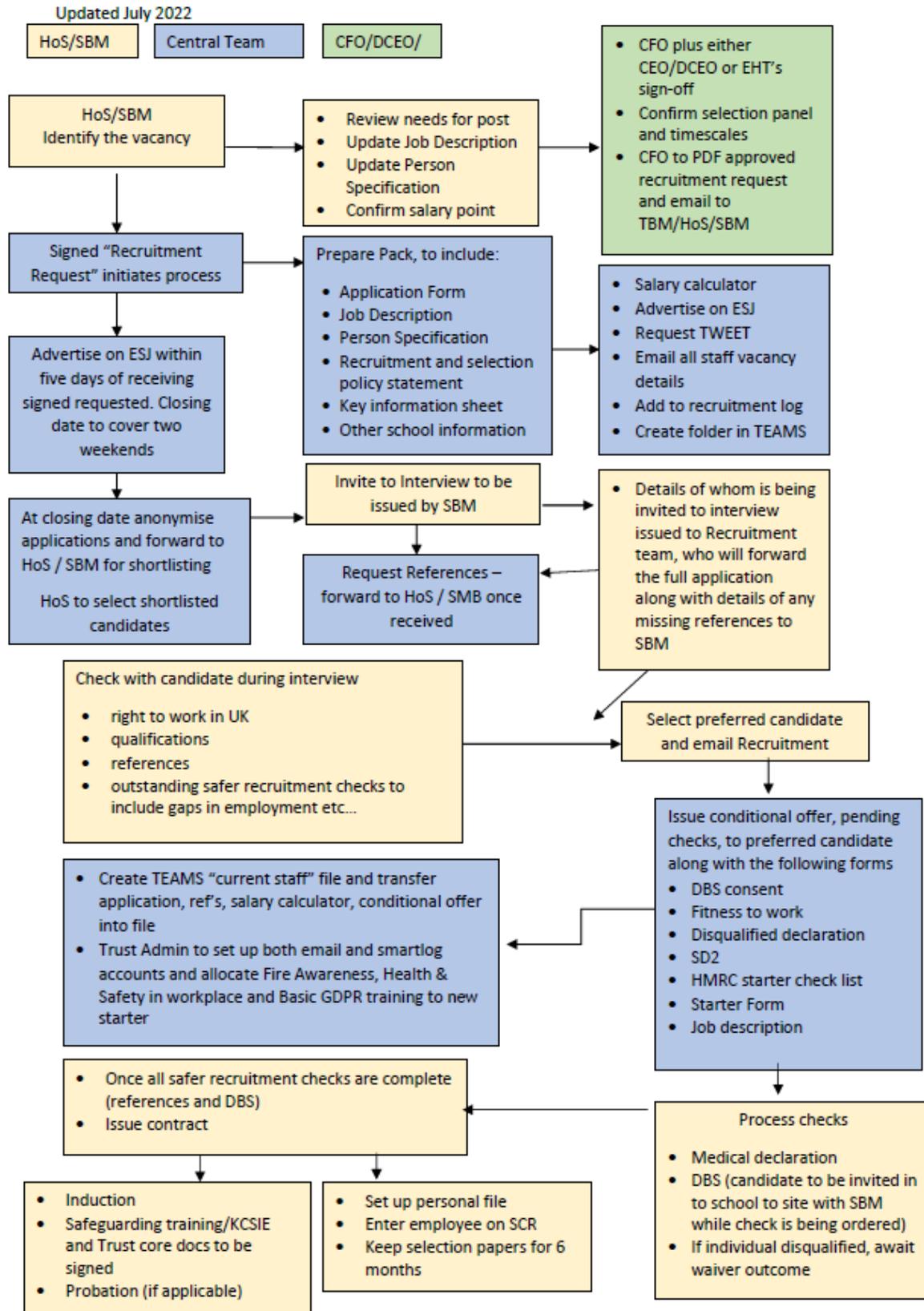
- All contracting companies or third parties working in schools will need to provide a letter of assurance confirming they follow safer recruitment processes, carry out enhanced DBS checks and believe all staff coming in to work on trust premises are suitable to work in a school. DBS numbers should be recorded at the bottom of the letters of reassurance and filed in regulated (yellow) or unregulated (green) files. (Details of any contractors/third parties that are not in regulated activity should not be entered into the SCR and should always be supervised when on school premises when children are onsite. **School BM**)
- No contractor/third party or visitor will be permitted access to schools without submitting their DBS certificate or update service information. DBS information should be provided 24 hours before accessing the school site. Contractors in regulated activity have to provide evidence of a DBS/update service, and their details added to the SCR. Contractors not in regulated activity have to provide evidence of a DBS/update service but these details do not go on the SCR. All third parties need to provide evidence of DBS, only those in regulated activity need to have these details added to the SCR. **School BM/ office/ site staff**
- Where urgent, unplanned premises work is required, enhanced DBS info should be requested and if it is unavailable caretakers **must** accompany contractors/third parties throughout the visit. **SBM/ office staff/ site lead**
- The School Business Manager / Head of School will accompany contractors during tendering visits for **trust** contracts. **School BM/Site Manager/HoS**
- All contractors/third parties and visitors to read the school safeguarding leaflet

Update service

All staff are encouraged to join the update service, which they must do within four weeks of receiving their certificate. The update service is a national scheme which reduces the number of DBS applications made across all settings, including employment and voluntary sectors. There is no cost to volunteers. The cost for employees is £13 per annum and it can be cancelled at any time. [The Update Service](#) **Staff/ BM**
Statutory guidance can be found in the [KCSIE document 2023](#)

HEARTS Academy Trust DBS and SCR Requirements for Third-party and contractors (regulated/unregulated)





Employment history

Previous Employment (most recent first)

Names and Address of Employer	Post Held	Reason for Leaving	Dates (month/year)	
			From	To
Do you have qualified teacher status?	YES <input type="checkbox"/> NO <input type="checkbox"/>			
What is your Teacher Reference Number (if applicable)				

Statement in support of your application

Please use this section to show how your experience and achievements make you suitable for this post. Please refer to the job description and person specification. Include relevant skills and experience that you have obtained through previous employment, work experience, voluntary or community involvement, personal interests or education. Please continue on a separate sheet if necessary.

References

Our policy for internal vacancies states that we may require one reference from your current Head of School/Line Manager.

Name of referee	
Position held	
Email address	
Telephone number	

Declaration

I certify that the information provided in this application, together with any accompanying papers, is to the best of my knowledge, true. I understand that any false entry may lead to either an offer of employment being withdrawn or, in the event of employment, disciplinary investigation by the School, and is likely to result in dismissal.

Safer Recruitment

I certify that I am not disqualified from working with children or subject to sanctions imposed by a regulatory body which would restrict me from applying for this post.

Disclosure of Criminal Convictions

Short-listed candidates will be asked to complete a 'Disclosure of Criminal Convictions' form and 'self-declaration' and a Disclosure will be sought from the Disclosure and Barring Service for the successful applicant.

The amendments to the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (2013 and 2020) provides that when applying for certain jobs and activities, certain convictions and cautions are considered 'protected'. This means that they do not need to be disclosed to employers, and if they are disclosed, employers cannot take them into account. Guidance about whether a conviction or caution should be disclosed can be found on the Ministry of Justice website.

<https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974>.

Data Protection Act 1998/GDPR 2018

I hereby give my consent for personal information (including recruitment monitoring data) provided as part of this application to be held on a computer or other relevant filing systems. Applications are held for six months.

Signed:-

Date:-

PLEASE RETURN YOUR COMPLETED FORM IN WORD FORMAT BY EMAIL TO:
recruitment@heartsacademy.uk

Reference request

Applicant's name		
Job applied for		
Have you known the applicant by any other name? If yes, please provide alternative name		
For employment references, please confirm dates of employment and the capacity in which you have known the applicant (ie. Headteacher/Line Manager etc)?	Dates	Capacity
	From: - To: -	
For character references, please confirm how long have you known the applicant and in what capacity?		
In your view, does the applicant's overall performance suggest that they are equipped to fulfil the responsibilities of the post for which they are applying Please provide any specific comments about the applicant's suitability for the post, and how s/he has demonstrated this.		
Are you completely satisfied that the applicant is suitable to work with children/ If not, please provide specific details of your concerns and the reasons why you feel s/he is unsuitable?		
Please provide details of applicant's job title and most recent salary.	Job Title	Salary
Please provide specific verifiable comments about the applicant's performance history and conduct (continue on a separate sheet if necessary)		
Please provide details of any disciplinary procedures the applicant has been subject to in which the disciplinary sanction is current		
Please provide details of any allegations or concerns that have been raised about the applicant whilst in your employment, that relate to the safety and welfare of children or young people or behaviour towards young people or children and the outcomes of those concerns e.g., whether the allegations or concerns was investigated, the conclusion reached, and how the matter was resolved.		
Please comment on ability, relationships with other staff, teamwork and responsibilities held. This includes the results of any monitoring exercises undertaken		
Please comment on leadership and management skills and projects/areas of responsibility		
Would you be happy to employ this applicant again?		
In your opinion, is there any reason why the applicant should not be employed to work with children or be employed in a school/academy environment? Yes/No (delete as appropriate) If yes, please comment:		

Name and position of individual completing this reference	Referee Name	Position in company
Signature of individual completing this reference	Signature	Date
Name of the organisation this reference is provided by		
IMPORTANT Please note that for educational references if the person completing this reference is not the Head of School, we will require the Head of School approval	Name of Head of School	Head of School Signature and date

Name of person checking this ref against application and internal standards	
Date of check	
Referee name verified against company website (Yes / No)	
Signature of checker (HEARTS Employee)	

The **HEARTS** Academy Trust, HEARTS House, 2 Mount Road, Wickford. SS11 8HE
www.heartsacademytrust.co.uk
01268 572672
recruitment@heartsacademy.uk

All information you provide must be a true and accurate reflection of the candidate. Details contained within your response may be shared at interview, we may also contact you following receipt of the reference or after interview for further clarification of the reference received.

Please note that the information provided by yourself will be held in accordance with obligations under UK GDPR and the Data Protection Act 2018.



HEARTS ACADEMY TRUST

Appendix 8 - SD2 Form (revised January 2023)

Relevant Conviction Form (to be completed following successful interview)

This form should be completed by applicants and returned in a sealed envelope, marked Confidential: Self-Disclosure Form.

NAME:	
ROLE APPLIED FOR:	
<p>The amendments to the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (2013 and 2020) provides that when applying for certain jobs and activities, certain convictions and cautions are considered 'protected'.</p> <p>This means that they do not need to be disclosed to employers, and if they are disclosed, employers cannot take them into account.</p> <p>Guidance about whether a conviction or caution should be disclosed can be found on the Ministry of Justice website: https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974.</p> <p>Before completing this form, it is important that you review the above Ministry of Justice Guidance on the rehabilitation of offenders.</p>	
DO YOU HAVE ANY ADULT CAUTIONS (SIMPLE OR CONDITIONAL)? Yes/No	
If Yes, please provide the following details:	
Date of caution:	
Details of caution:	
Penalty:	
DO YOU HAVE ANY UNSPENT CONDITIONAL CAUTIONS? Yes/No	
If Yes, please provide the following details:	
Date of caution:	
Details of caution:	
Penalty:	
DO YOU HAVE ANY UNSPENT CONVICTIONS IN A COURT OF LAW? Yes/No	
If Yes, please provide the following details:	
Date of conviction:	
Details of conviction:	
Penalty:	
DO YOU HAVE ANY SPENT CONVICTIONS THAT ARE <u>NOT PROTECTED</u> AS DEFINED BY THE REHABILITATION OF OFFENDERS ACT 1974 (EXCEPTIONS) ORDER 1975 (AMENDMENT) (ENGLAND AND WALES) ORDER 2020? Yes/No	

If Yes, please provide the following details:

Date of conviction/caution:

Details of conviction/caution:

Penalty:

The information I have provided is accurate and I understand that if this information is found to be inaccurate or I have failed to disclose information which is later disclosed via the DBS checking service that this could result in the withdrawal of my conditional offer of employment or termination of my employment:

Signed:

Print:

Date:

You can obtain independent and confidential advice on what cautions or convictions you must disclose from the following organisations:

NACRO <https://www.nacro.org.uk/criminal-record-support-service/>

UNLOCK <https://www.unlock.org.uk/advice-support/>

PLEASE COMPLETE THE FORM AND RETURN IT TO THE SCHOOL/ACADEMY IN A CONFIDENTIAL ENVELOPE.

Appendix 9 - DBS Consent Form

(TO BE COMPLETED BY PREFERRED CANDIDATES/VOLUNTEERS)

Applicant Name:

I acknowledge that in order to process my application to be employed / engaged by the school that an enhanced DBS check will be undertaken or I will be required to produce an acceptable enhanced DBS certificate, including a Children's Barred list check where this is required for the post I am applying for.

I confirm that I will produce an original DBS certificate to the school within a reasonable timeframe in order for the school to proceed with my application/engagement. If a new DBS check has been carried out by the school, I understand I am required to produce the original DBS certificate **within 5 working days following my receipt of it**. I acknowledge that if I fail to produce my original DBS certificate within a reasonable timeframe, the school may not proceed with my application.

I understand that if I commence work before I receive my DBS certificate and/or produce it to the school that this will be on a conditional basis as set out in my conditional offer letter/conditional contract/volunteer agreement. If my DBS check is unsatisfactory to the school, I acknowledge that my employment/engagement will not be confirmed/will not continue.

I confirm that I give my consent for the school to take a copy or image of my original DBS certificate and hold the copy/image for as long as is necessary to complete the recruitment process. In any event the school will not hold the copy for longer than 6 months. At the end of this period, I acknowledge that the school will remove the copy from their records and destroy it.

I further acknowledge that the school may share the information contained on the DBS certificate with a third party for the purposes of seeking guidance on the recruitment decision, where appropriate.

The school confirms that it will comply with the DBS Code of Practice at all times. A copy of the school's policy on the recruitment of ex-offenders can found in the Recruitment Policy which is available [from the school office/on the intranet].

Signed.....

Print name.....

Date.....

Additional section to be completed by applicants who have a subscription to the DBS online update service:

By signing this section of the form, you confirm that you are registered with the DBS online update service and you give permission for the school to carry out a status check with the DBS online update service.

You confirm you will produce to the school your current DBS certificate and any further information required to carry out a DBS status check.

You acknowledge that the school may require a new DBS check to be obtained if the certificate you have presented is not at an appropriate level or for an equivalent role. A new DBS check may also be required if the online status check indicates that your certificate is no longer current.

Signed.....

Print name.....

Date.....