



# Single Central Record (SCR), Personnel Files and Safer Recruitment Policy

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## Document provenance

This Policy was approved by Trustees as follows –

Approver: Board of Trustees

Date of Approval: December 2020

Executive Leadership Team (ELT) Owner:  
Director of Governance and Strategy

Date of Review: December 2022

*Unless there are legislative or regulatory changes in the interim, this Policy will be reviewed every 2 years. Should no substantive changes be required at that point, the policy will move to the next review cycle.*

### Summary of changes at last review:

- Updates from KCSIE (DfE, 2020)
- Updates from Governance Handbook (DfE, 2020)
- Updates from [‘Recruit teachers from overseas’](#) (GOV.UK, 2020)
- Key process changes in line with E-ACT Safer Recruitment Process (live from 01/01/2021)

Updates from ‘Coronavirus (COVID-19): safeguarding in schools, colleges and other providers’ (GOV.UK, 2020: specifically within ‘Safer recruitment/Volunteers and movement of staff’)

### Related documents:

- Recruitment and Selection Policy<sup>1</sup>.

### Summary of policy:

This Policy sets out employer responsibilities and requirements in relation to safer recruitment, pre-employment checks, maintenance of the Single Central Record including ongoing employment checks.

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<sup>1</sup>[Recruitment and Selection Policy](#)

# Single Central Record, Personnel Files and Safer Recruitment Policy

## 1. Introduction and Purpose

- 1.1. It has been a requirement since 2007 that all schools must maintain a Single Central Record (SCR) of recruitment and vetting checks.

## 2. Scope

- 2.1. This Policy applies to all staff involved in recruitment processes, especially to headteachers, Regional People Leads, Academy SCR Leads and the national governance team/Regional Safeguarding Leads who have responsibility and oversight of the maintenance of the SCRs.

## 3. Legislation and Regulation

- 3.1. The legislative requirement for maintaining a SCR is detailed in the original publication "Safeguarding Children and Safer Recruitment in Education (2007)" and expectations set in Keeping Children Safe in Education (KCSIE).

## 4. Format of the SCR

- 4.1. All Academies must use the E-ACT format for the SCR and not add or delete headings. They must also comply with the arrangements detailed in this Policy.
- 4.2. The SCR must be maintained electronically within the Academy Safeguarding SharePoint, accessed only by a secure password and backed up every week.
- 4.3. There must be a member of staff on site that can access the SCR. It must be accessible to the headteacher, Academy SCR Lead (usually an administrative or office-based member of staff), Regional People Team Lead and Regional Safeguarding Lead.

## 5. Who should appear in the SCR?

- 5.1. Paragraph 164 of "Keeping Children Safe in Education" states that the SCR must cover the following people:

- all staff, including teacher trainees on salaried routes, agency and third-party supply staff who work at the school. In colleges, this means those providing education to children for independent schools, all members of the proprietor body. In the case of academies and free schools, this means the members and trustees of the Academy Trust.

- 5.2. The SCR must therefore include:

- All staff who are employed directly by your Academy;
- All long-term supply/agency staff and daily supply;
- Any volunteer who works regularly with children;
- All who are engaged in "Regulated Activity";
- Trustees and volunteers;
- People brought into the Academy to provide regular additional teaching or

instruction but who are not staff members, such as Sports Coaches, Peripatetic Music Teachers, Artists etc;

- Regular contract staff such as contract cleaners or caterers;
- Visitors who are in the Academy on a 'regular' basis must be on the SCR.

5.3. In this context, 'regular' means carried out by the same person frequently (once a week or more often), or on 4 or more days in a 30-day period (or in some cases, overnight). Appendix 3 details the visitor protocol guidance.

5.4. Regulated activity includes:

- a) teaching, training, instructing, caring for (see (c) below) or supervising children if the person is unsupervised, or providing advice or guidance on well-being, or driving a vehicle only for children;
- b) work for a limited range of establishments (known as 'specified places', which include schools and colleges), with the opportunity for contact with children, but not including work done by supervised volunteers;
- c) relevant personnel care or health care provided by or provided under the supervision of a health care professional. [Personnel care includes helping a child for reasons of age, illness or disability, with eating drinking, or in connection with toileting, washing, bathing and dressing. Health care means care for children provided by, or under the direction of supervision of a regulated health care professional.]

5.5. Work under (a) or (b) is regulated activity only if done regularly.

5.6. Work under (c) is always regulated activities, regardless of their frequency or whether they are supervised or not.

5.7. Volunteers who carry out unsupervised teaching or look after children regularly, or who provide personnel care on a one-off basis in Academies and college will be in regulated activity. They must be added to the SCR.

5.8. Agency staff must be included in your SCR.

5.9. Academies must obtain written notification from any agency or third party to confirm that the relevant checks have been completed. This includes obtaining the appropriate certificates, and the date that confirmation was received and whether any enhanced DBS certificate check has been provided in respect of the member of staff. The Academy must also check that the person presenting themselves for work is the same person on whom the check has been made.

5.10. The details from the agency must be recorded on the SCR and the date you received the information. The confirmation must be filed. The agency must be contacted if they have not provided the information required.

5.11. All non-Academy staff who E-ACT employ (i.e. National/Regional staff) or coordinate to

engage with academies (I.e. Trustees) in regulated activity are recorded on the E-ACT National SCR or E-ACT Regional SCR (North or South). This includes all relevant safer recruitment checks in line with statutory guidance and enables those staff to show their E-ACT identification and green lanyard in order to access the Academy site. This information is shared with headteachers as appropriate. You do not need to include on your SCR any visitors to the Academy, work experience students or occasional volunteers (unless they are in regulated activity).

- 5.12. Trainee/student teachers that receive a salary must have the necessary checks carried out by the Academy. Where trainee teachers are fee funded it is the responsibility of the initial teacher training provider to carry out the necessary checks. Academies should obtain written confirmation from the training provider that these checks have been carried out and that the trainee has been judged by the provider to be suitable to work with children.
- 5.13. There is no requirement for the Academy to record detail of fee-funded trainees on the SCR. However, these will be recorded as volunteers on the SCR if 5.3 applies.
- 5.14. Some visitors are required to be on the SCR, for example regular E-ACT staff, local businesses, adults that listen to children read etc.
- 5.15. E-ACT staff must present their badges (on their green E-ACT lanyard) when visiting the Academies. It is not required to request further identification or issue another green lanyard. The E-ACT member of staff should wear their own green lanyard around the academy.
- 5.16. The SCR should reflect your current workforce. When someone leaves the Academy, you should remove the record from the SCR.

## **6. What information should be recorded on the SCR**

- 6.1. The SCR is an integral part of the Academy's Recruitment and Selection Policy, recording and referencing the pre-employment checks within a single comprehensive document. The statutory guidance states: "The information that must be recorded in respect of staff members (including Teacher trainees on salaried routes) is whether or not the following checks have been carried out or certificates obtained, and the date on which the checks were completed":
  - an identity check;
  - a barred list check;
  - an enhanced DBS check/certificate;
  - a prohibition from teaching check;
  - further checks on people living or working outside the UK (includes EEA check);
  - a check of professional qualifications; and
  - a check to establish the person's right to work in the UK;
  - a section 128 direction check.
- 6.2. Under each of these headings the guidance states you should record:
  - what has been seen;
  - when it was seen, and,
  - by whom it was seen.

- 6.3. The E-ACT excel format for the SCR complies with the Statutory regulations and best practice to support Academies in delivering the principles of Safer Recruitment.
- 6.4. You must never leave an empty field. If not applicable insert N/A in the cell.
- 6.5. It is often useful to include notes on the SCR if there has been additional information required. For example, if a DBS certificate hasn't arrived then you would need to do a separate barred list check and a risk assessment. You must add a note on the SCR that indicates that a risk assessment is on file.
- 6.6. Disqualification: Schools must ensure that they are not knowingly employing a person who is disqualified in connection with relevant childcare provision. This is achieved primarily through applications to the Disclosure and Barring Service (DBS). In support of this, schools should take an opportunity to create the right culture and environment so that staff feel comfortable, where it's appropriate, to discuss matters outside of work, which may have implications for the safeguarding of children in the workplace.
- 6.7. In Line with [Statutory Guidance: Disqualification under the Childcare Act 2006](#), any staff working with under 5's, under 8's in out of school hours or those involved in the management of such provision will be verbally reminded by the headteacher to self-declare if they are disqualified through meeting the 'Disqualification under the Childcare Act 2006', to inform the Academy if your relationships and associations may have implications for the safeguarding of children, and to inform the Academy of any changes in circumstances in relation to disqualification.
- 6.8. Each Academy SCR will have a tab labelled 'Disqualification' and this will include a record of all staff names alphabetically (including volunteers - other non-contracted staff are covered through the attached letter of reassurance) with the date of when the above verbal reminder was completed. NOTE: If a MOS provides a positive disclosure then Regional HR/Regional Safeguarding Lead should be contacted to inform next steps.
- 6.9. No new starter can commence employment without all appropriate pre-employment checks in place unless there is formal authorisation via email from the Director of Governance and Strategy/ROD for national/regional posts, or the RED/Regional Safeguarding Lead for Academy posts. This must include a completed risk assessment by the headteacher on behalf of the member of staff.

## **7. Identity Checks**

- 7.1. The documents you check must confirm name, date of birth, address and should be in a photographic form of identity such as a passport or driving license.
- 7.2. If the individual cannot provide any form of photographic evidence you should try to seek more than one additional form of ID along the lines required by the [DBS checklist](#).
- 7.3. They must be able to show:
  - one document from Group 2a
  - Two further documents from either Group 2a or 2b
- 7.4. At least one of the documents must show the applicant's current address. The Academy

conducting their ID check must then also use an appropriate external ID validation service to check the application.

- 7.5. **You must see originals.** Photocopies must never be accepted. NOTE: Within 'Coronavirus (COVID-19): safeguarding in schools, colleges and other providers' (GOV.UK, 2020: specifically, within 'Safer recruitment/Volunteers and movement of staff'), an adjustment was made due to the coronavirus restrictions where checks can be completed via a video call/scanned document or photograph. This applies for DBS checks and right to work in the UK evidence. However, GOV.UK advice for checking ID documents for indicators of fraud should be reviewed. Also, retrospective checks should be carried out 8 weeks after coronavirus restrictions are lifted for right to work in the UK checks if no documents were obtainable from the applicant (and after following the employer checking service).
- 7.6. Record on the SCR the evidence you have seen, e.g. passport, driving licence etc., plus the date it was checked and the name of the person who checked it.
- 7.7. Take a copy of the documents, sign and date that the original has been seen and hold the copy in the personnel file.

## 8. Qualifications and Registration

- 8.1. You must record the professional qualifications **that are a requirement of the job**, e.g. Qualified Teacher Status (QTS) for a Teacher or perhaps an NVQ2 for a Teaching Assistant.
- 8.2. If the person needs to be registered with any other professional body to do the job, such as a health care professional or Social Worker, you also need to record that you have carried out the relevant checks.
- 8.3. Record the qualification/s that you have evidenced, the date seen and who has checked it. Remember, if you want to check **all** qualifications you may choose to do so but you are only required to check the qualifications that are relevant for the job.
- 8.4. Copy the documents, sign and date that the original has been seen and hold the copy in the personnel file.
- 8.5. If the person has an overseas qualification and you are unsure of its comparability to a UK qualification you can check this with your HR provider or direct with various websites such as [NARIC](#).
- 8.6. Updates from 'Recruit teachers from overseas' (GOV.UK, 2020) provides further information.

## 9. Prohibition Check

- 9.1. Since the 03 April 2014, it has been a statutory requirement that a Prohibition Order check must be made for any teacher the school employs. This does not apply to other staff groups although checks are completed on professional services staff if they provide small teaching-based sessions (i.e. an LSA working with a group of 5 children on a writing intervention).
- 9.2. This is **not** the same as a Barred List check (obtained via the DBS). Teacher prohibition orders are made by the Secretary of State following consideration by a professional conduct panel convened by the Teaching Regulation Agency (TRA). The prohibition check can be made via the **Teachers Services' System**. This is a free service for schools, local authorities and supply agencies in England to check the record of any teacher they are considering employing. New teachers joining E-ACT will also have a prohibition check completed 12 months after 1 year's employment anniversary to ensure no record exists of any TRA that may have been in progress at point of recruitment.
- 9.3. Through the **Teachers Services' System**, schools can check:
  - teacher's personnel details;
  - initial teacher training qualifications;
  - qualified teacher status;
  - induction status;
  - supplementary qualifications;
  - details of any active sanctions;
  - a suspension or conditional order imposed by the General Teaching Council for England (prior to abolition) that is still current;
  - prohibition from teaching;
  - Section 128 Direction check;
  - Barred List check.
- 9.4. In the absence of the QTS number you can check on the website, [Teachers Services' System](#): whilst you cannot enter the number to do a personnel check if you click on **Teachers prohibited from the profession**. This provides a full and comprehensive list of all staff with QTS, QTLS or unqualified that have any sanctions against them.
- 9.5. This service will also identify any existing prohibitions and sanctions made by the General Teaching Council (GTCE) before its abolition in March 2012.
- 9.6. You must record on your SCR if a Prohibition Order check is required, the date of the check and the name of the person who checked it.

## 10. Barred List Check

- 10.1. A Children's Barred List check (formerly List 99) must be undertaken on all staff working in schools in Regulated Activity. If an Enhanced DBS check has been made this can include a check against the Children's Barred list if requested. If a member of staff is to be allowed to start work before their DBS disclosure has been returned, **you must** carry out a separate Barred List check prior to starting work at the school. No new starter can commence employment without a Children's Barred list check.

- 10.2. It is unlawful to conduct a Barred List check for a person who is NOT engaged in Regulated Activity. This has particular implications when checking some Volunteers. Where this applies, a volunteer risk assessment must be completed to mitigate against the risk of contact with children when on site.
- 10.3. A volunteer is not in regulated activity where they are working in a school under regular, day to day supervision by someone who is in regulated activity (like a Teacher or Teaching Assistant).
- 10.4. Where this is the position:
- the school does not need to carry out an enhanced DBS check on the volunteer (although has the discretion to choose to do so), and;
  - **must not** carry out a Barred List check
  - must complete a volunteer risk assessment
- 10.5. In line with the Governance Handbook paragraph 16 (DfE, 2020) and the E-ACT Ambassadors Charter, all Trustees and Ambassadors will receive an enhanced DBS check with Children's Barred list given the potential for their roles to include working in regulated activity.

## 11. Section 128 Direction Checks

- 11.1. A Section 128 direction prohibits or restricts a person from taking part in the management of an independent school, including academies and free schools. A person who is prohibited, is unable to participate in any management position in the Academy as an employee; a trustee of the Academy; part of the governance or has been delegated any management responsibilities.
- 11.2. A check for Section 128 direction must be carried out using the [Teachers Services' System](#).
- 11.3. Where the person will be engaging in regulated activity, a DBS barred list check will also identify any section 128 direction. The DBS certificate will also indicate the outcome of a section 128 direction check.
- 11.4. You must record on your SCR if a Section 128 direction check is required, the date of the check and the name of the person who checked it.
- 11.5. A section 128 direction check must be completed for all leaders, senior leaders and governance in the Academy. This is also relevant for Academy Trustees.

## 12. Enhanced DBS check

- 12.1. It is an E-ACT requirement that all DBS checks must be renewed every three years at an enhanced level. Where possible, this requirement extends to agency/contractors who are involved in regulated activity on site and any contractual/service level agreement with new agency/contractors should include this expectation prior to proceeding
- 12.2. Employees should be encouraged to join the DBS update service [see below] and Academies are at liberty to find effective ways of reimbursing the cost to those staff members who do this.

- 12.3. It is important to note here that if a school chooses to carry out an enhanced DBS check on a volunteer who does not qualify for a Barred List check you must ensure that when you complete the DBS application form you do not tick the box that requests the Barred List check.
- 12.4. E-ACT requires an enhanced DBS check **without** a barred list check for all trustees and Academy Ambassadors as part of the appointment process. NOTE also 10.
- 12.5. E-ACT requires a new DBS check for those employees who are joining an E-ACT Academy for the first time regardless of any break in service.
- 12.6. New appointments are summarised in the table below:

Person	Circumstances	Mandatory	E-ACT requirement
New staff	>3-month break of service	DBS + Barred List	DBS + Barred List
	Similar position <3-month break	Optional above	DBS + Barred List
New volunteer or Trustee/ /Ambassador	Contact with children + not supervised	DBS + Barred List	DBS + Barred List
	Contact with children + supervised	DBS optional <b>no</b> barred list	DBS <b>no</b> barred list
Agency and Contractor	If regulated activity	DBS + Barred List by organisation (or just DBS if not in regulated activity)	Name, DBS confirmation (including barred list as appropriate), letter of reassurance

- 12.7. Record on the SCR: The DBS issue date, DBS number, date of Children's Barred List and the date the certificate was seen, the date the DBS update service was checked, or date the confirmation was received from the relevant organisation.
- 12.8. Record the name of the person in the Academy who was responsible for processing the DBS form and confirming its clearance.
- 12.9. Do not keep copies of the DBS applications/supporting documentation once the number has been obtained. These must be appropriately destroyed in accordance with GDPR.
- 12.10. A risk assessment must be completed if an Enhanced DBS check is not clear.
- 12.11. When you have undertaken DBS rechecks, update your SCR with the current details.
- 12.12. The Disclosure and Barring Service introduced a portability scheme in July 2013. This allows individuals to subscribe to the scheme by paying an annual fee (free for volunteers) that enables their next DBS disclosure to be considered portable.
- 12.13. This means that an Academy proposing to engage an employee or volunteer who holds

a portable DBS can accept their current DBS and check on-line to see if there have been any changes. This is a free service. If there has been an update to the information contained on the disclosure, the Academy must request a new one. If there are no amendments the Academy can accept the current DBS certificate for the purposes of the pre-employment check and update the SCR as live (i.e. new dates for DBS as 12.6).

- 12.14. For new starters who utilise the DBS update service, you must still check the original DBS certificate as part of pre-employment checks and complete the relevant sections of the SCR. You should also record that you have completed the on-line portability check and record the date/who completed the check.

### 13. Right to Work

- 13.1. For individuals who have lived or worked outside the UK, schools must carry out the same checks as for everyone else but in addition must make any further checks considered appropriate.
- 13.2. These further checks should include a check for information about any teacher sanction or restriction that an EEA professional regulating authority has imposed, using the [Teacher Services](#) System. Although restrictions imposed by another EEA regulating authority do not prevent a person from taking up teaching positions in England, Academies should consider the circumstances that led to the restriction or sanction being imposed when considering their suitability for employment.
- 13.3. The Home Office has published guidance on **criminal record checks for overseas applicants**. The DFE has also issued **guidance on the employment of overseas-trained teachers**. This provides information on the requirements for overseas trained teachers from the European Economic Area to teach in England and the award of QTS for teachers qualified in Australia, Canada, New Zealand and USA.
- 13.4. Employers must confirm the right of those they seek to employ to work in the UK. The evidence that was provided and date when these checks were carried out. In addition, the name of the individual who carried out the check should be recorded. There is useful guidance on the [GOV.UK website](#) if there is any uncertainty.
- 13.5. You must record on your SCR what document has been seen to verify the person's right to work in the UK, the date of the check and the name of the person who checked it.

### 14. References

- 14.1. Two references must be obtained prior to interview for all shortlisted appointments. References should always be obtained from the candidate's current employer. Where a candidate is not currently employed, verification of their most recent employment and reasons for leaving should be obtained from the school, college, Local authority (LA) or organisation at which they are employed.
- 14.2. References for Agency staff must be sent to the Academy as part of the due diligence process.
- 14.3. All Academies should ensure that the recruitment processes are robust and thorough. It

is E-ACT's policy that if a teaching reference request is returned, with the candidate graded as satisfactory the offer of the post must not be confirmed until further information, including additional references, has been obtained.

- 14.4. References should be scrutinised, and any concerns resolved satisfactorily, before the appointment is confirmed, including for any internal candidate. Obtaining references before interview, would allow any concerns they raise to be explored further with the referee and taken up with the candidate at interview. They should always be requested directly from the referee and preferably from a senior person with appropriate authority, not just a colleague.
- 14.5. Employers should not rely on open references, for example in the form of 'to whom it may concern' testimonials, nor should they only rely on information provided by the candidate as part of the application process without verifying that the information is correct. Where electronic references are received, employers should ensure they originate from a legitimate source.
- 14.6. On receipt, references should be checked to ensure that all specific questions have been answered satisfactorily. The referee should be contacted to provide further clarification as appropriate, for example if the answers are vague or if insufficient information is provided. They should also be compared for consistency with the information provided by the candidate on their application form. Any discrepancies should be taken up with the candidate.
- 14.7. Any information about past disciplinary action or allegations should be kept on a separate secure HR folder.
- 14.8. Some existing employees may have gaps in their personnel files. It is important that in these cases you show an audit trail of your attempts to gather the required information if the record is since September 2016.
- 14.9. If it is found that the predecessor school **did not** confirm that application forms and/or references existed, either by an entry on the SCR and or a note in the employee personnel file, rigorous efforts must be made to obtain them, and notes kept in their folder.
- 14.10. References should be retained in the personnel file.

## 15. Annual Declarations

- 15.1. The Annual Declaration requires staff to declare:
  - Criminal convictions;
  - Their understanding of, and agreement to adhere to key policies;
  - Business or personnel interests; and
  - Changes to personnel data (as applicable).
- 15.2. The Academy must issue the Annual Declaration to all staff immediately prior to the start of their employment and yearly thereafter. All sections must be completed. The date of completion of the Annual Declaration must be recorded on the SCR.
- 15.3. Academies must be able to evidence that all staff have completed the Annual

Declaration, specifically the section regarding acceptance of safeguarding information.

## 16. Safer Recruitment Training

- 16.1. Safer recruitment training teaches safeguarding skills that help schools to better protect children while recruiting staff and volunteers. From 01 September 2014, safer recruitment training no longer needs to be approved by the Secretary of State. However, schools will continue to be required to ensure that at least one member of any recruitment panel has received appropriate training in line with safeguarding guidance.
- 16.2. School leaders will use their professional judgment to determine appropriate training for the needs of their staff and their school. All Academies must ensure that at least one member of every interview panel has undertaken safer recruitment training, and this is evidenced in your interview notes by including the initials of the trained individual.
- 16.3. All interview questions must include two safeguarding questions appropriate to the post being recruited. The E-ACT Interview Template ensures that the required expectations at interview are adhered to.
- 16.4. All electronic application forms must be signed by the candidate at the interview.
- 16.5. All staff must attend a Safeguarding Refresher training session every year and a register must be taken to evidence their attendance. All staff must read the most recent update of 'Keeping Children Safe from Education' Part 1 and Annex A.
- 16.6. Staff must sign and date to acknowledge that they have read and understood this document. This should be recorded on the SCR. The E-ACT KCSIE Template ensures that this is consistently applied across the trust. Those in leadership positions (i.e. SLT/SEND/CO/Phase Leads/Year Leads/Safeguarding Team) will sign and date to confirm that they have read the full document.

## 17. Personnel Files

- 17.1. The personnel files must be organised with dividers and be in chronological order.
- 17.2. Having completed the pre-employment checks in line with the **Recruitment and Selection Policy**, the Electronic personnel files **must** contain the following:
  - Two references (one of which must be from the applicant's most recent employer and be provided by their line manager or headteacher) which the Academy considers to be satisfactory;
  - Signed hard copy of the application form or electronic application form sent via a work email or uploaded on to Jobtrain;
  - Photocopies/scans of original documents confirming any educational and professional qualifications referred to in their application form;
  - Evidence of Identity, in most cases this is a copy of photo ID. If alternative identity checks were required, these must be kept in the file;
  - Confirmation of medical fitness and copies of any risk assessments completed as a

- result of the occupational health assessment;
- (See Appendix 1 - Declaration of Medical Fitness);
- Right to Work;
- If the DBS disclosure revealed a criminal record and a DBS risk assessment is required (see Appendix 6) a copy of the risk assessment must remain on the personnel file;
- Contract of Employment – Signed by the headteacher and Employee;
- Equal Opportunities Monitoring form;
- Offer of appointment letter;
- Prohibition print check – dated;
- All interview related information for the employee –, interview scoring template (including evidence of safeguarding questioning), records of observations and other tasks undertaken;
- Health/medical related risk assessments;
- Copy of any amendment to contract letter, including hours, grade, pay etc;
- Letter of Reassurance (Appendix 2);
- Training records / certificates including Safer Recruitment;
- Confirmation of the initial DBS check including issue date, DBS number, barred list date and check completed by/date;
- Annual Declaration Forms.

**17.3. It must not contain:**

- The DBS certificate. The DBS number is recorded on the SCR;
- Any documentation of proof of address such as a bank statement or electrical bill must be returned to the member of staff or destroyed.

17.4. It is very important that both the SCR and Personnel files are confidential. The SCR should be password protected and regularly backed up. A hard copy of the SCR should always be available in case of IT failure/breakdown (ref 4.2).

17.5. The electronic personnel files should be stored in a secure place and have restricted access.

## **18. Training**

18.1. Training on maintenance of the SCR will be included as part of the induction process for appropriate staff in academies, human resources and governance. Following the key process changes within the E-ACT Safer Recruitment Process (live from 01/01/2021) additional training will be provided by the Regional Safeguarding Lead for Regional People Team, Headteachers, DSLs and Academy SCR Leads.

## **19. Responsibilities**

19.1. The Headteacher has overall responsibility for the academy SCR, and the content of the employee personnel files but will delegate the process of maintaining them to the Academy SCR Lead. The SCR must be checked six times per academic year by the headteacher and regularly by the Academy SCR Lead.

19.2. The E-ACT SCR responsibilities are summarised below:

National SCR	Regional SCR (North/South)	Academy SCR
<ul style="list-style-type: none"> <li>• Includes: Trustees/Members/ELT/REDS/RODs/RSLs/RTLA</li> <li>• Owner: DGS</li> <li>• Checks: E-ACT Governance Team/RSL</li> <li>• Access: E-ACT Governance Team (Edit)</li> <li>• Access: Headteacher (Ofsted: Request Only)</li> </ul>	<ul style="list-style-type: none"> <li>• Includes: Regional People Team/RCS/Operations</li> <li>• Owner: Regional People Lead</li> <li>• Checks: Regional People Lead/RSL</li> <li>• Access: Regional People Lead/RSL (Edit)</li> <li>• Access: Headteacher (Ofsted Only)</li> </ul>	<ul style="list-style-type: none"> <li>• Includes: Teaching/Professional Services/Agency</li> <li>• Volunteers/Ambassadors/Contractors</li> <li>• Owner: Headteacher/Academy SCR Lead</li> <li>• Checks: Headteacher/Academy SCR Lead/RSL</li> <li>• Access: Regional People Lead/RSL (Read Only)</li> </ul>

19.3. Staff are responsible for providing relevant documentation in a timely manner. Should this not be provided then the following escalation process should be implemented:

#### 19.3.1. Academy Level



#### 19.3.2. Regional/National Level



## 20. Monitoring and Compliance

20.1. Compliance with this Policy will be monitored by the Regional People Team Leads and Regional Safeguarding Leads, as well as the Governance Team.

## 21. Review

21.1. The Policy will be reviewed every two years by the E-ACT People and Organisational Development Director and Regional Safeguarding Leads.

## Appendix 1

### Declaration of medical fitness

(In the absence of completion of a pre-employment health assessment)

I declare that, to the best of my knowledge, I know of no reasons, on grounds of mental or physical health, why I should not be able to discharge the responsibilities required by the role of [name of post].

I understand that the Academy is legally required to verify my medical fitness for the role and that my employment with the Academy is therefore conditional upon my being medically fit to carry out the duties required by the role.

I understand that failure to disclose any relevant information now, or giving false information, may result in the termination of my employment or the withdrawal of an offer of employment.

I consent to the Academy retaining this medical declaration and any other information about my medical fitness on my confidential personnel file for the duration of my employment. I understand and agree that the Academy may use any medical information held about me to help discharge its obligations towards me as my employer as and when it is necessary, or reasonable, to do so. I further understand and agree that the Academy may confidentially retain any medical information about me for a period of six months after my employment terminates, following which it will be securely destroyed.

I hereby give my consent to [name of Academy] processing the data supplied above.

**Signature** .....

**Date** .....

## Appendix 2

### E-ACT Letter of Reassurance Template

Re: [Academy name] E-ACT Academy

To whom it may concern,

**RE: Letter of Reassurance**

To ensure that effective safeguarding of the pupils at the above Academy, this letter provides evidence of reassurance that [Company name] have in place appropriate safeguarding procedures for all safer recruitment checks carried out on their staff who visit the Academy.

I, [Staff name] as [Staff role] confirm that [Company name] have completed the following safer recruitment checks pre-employment and during on-going employment:

- Verification of identification checks
- Right to Work in the UK checks
- Relevant qualification/registration checks
- Employment history and reference checks
- Enhanced DBS check, including Children's Barred List check (*where applicable*)
- Subsequent enhanced DBS check with Children's Barred List check every three years
- Prohibition check completed and not on the register
- All staff receive appropriate safeguarding training
- All staff have read the company safeguarding policy and Keeping Children Safe in Education Part 1 and Annex A
- All staff have been informed that they are committing an offence if they are deployed to work with pupils but are disqualified through meeting the 'Disqualification under the Childcare Act 2006'

I also confirm that all staff attending the Academy during the course of their employment will be able to provide photo identification. Confirmation of pre-employment and on-going employment checks can be obtained via email from [Email address].

Yours sincerely,

[Staff name]

## Appendix 3

### Visitor Protocol Guidance

All visitors to the Academy will be asked to bring formal photographic identification with them at the time of their visit. They must follow the procedure below:

- Once on site, all visitors must report to reception first. No visitor is permitted to enter the Academy via any other entrance under any circumstances.
- At reception, all visitors must state the purpose of their visit and who has invited them. They should be ready to produce formal photographic identification upon request.
- Attention should be raised to the safeguarding procedures at the Academy and a safeguarding leaflet issued. By signing in, the visitor confirms acceptance of the procedures.
- All visitors will be asked to sign the electronic signing in system or Academy equivalent. Required information will include their name, organisation, who they are visiting and vehicle registration. A photograph will also be taken if using the electronic signing in system.
- 
- All visitors will be required to wear an identification badge and a red E-ACT lanyard. Both the badge and lanyard must remain visible throughout their visit.
- Visitors must be escorted from reception by their point of contact. The contact will then be solely responsible for them while they are on site. The visitor must not be allowed to move about the site unaccompanied unless they are registered on the Approved Visitor List (see below).

#### Approved Visitor List

The Academy will hold an approved visitor list for visitors who frequently visit the Academy site to undertake work within the Academy (including contractors, supply staff and ambassadors). To qualify for this list the visitor must have demonstrated, prior to the visit that:

- a) They have a current clear enhanced DBS check and a copy of this has been registered on the Academy's SCR **AND**
- b) A current clear DBS children's barred list check has been undertaken **AND**
- c) **A letter of reassurance from the relevant organisation that confirms all other appropriate checks have been completed (see Appendix 2)**
- d) **Other requirements:**
  - Visitors on the approved List **MUST** follow the same procedures on entry to the premises (i.e. come to reception and sign in via the e-signing system and then escorted from reception by their point of contact to a base point). Once on site approved visitors are allowed unescorted access throughout the Academy.
  - Approved visitors will be required to wear an identification badge and an amber E-ACT lanyard. This indicates that, whilst they have all appropriate checks to be unaccompanied on site, they are not an Academy member of staff and therefore may require additional support in relation to specific pupil concerns or fire alarms/lockdowns etc. Both the badge and lanyard must remain visible throughout their visit.

- A copy of the approved visitor list will be kept behind reception (or on the electronic signing in system) at all times so that office staff who are not privy to the Academy SCR are able to sign in as appropriate. This must be kept up to date.

### **Visitors Departure from Academy**

On departing the Academy, all visitors MUST leave via reception and:

- Sign out in the same manner as signing in.
- Return the identification badge and E-ACT lanyard to reception.
- A member of staff must escort those visitors with red lanyards back to reception.

### **Unknown/Uninvited Visitors to the Academy**

Any visitor to the Academy site who is not wearing an identity badge or who has a red E-ACT lanyard and is unaccompanied should be challenged politely to enquire who they are and their business on the Academy site.

They should then be escorted to reception to sign in and be issued with an identity badge or to be collected by their point of contact. The headteacher must be informed to review the incident.

The procedures under “Visitors to the Academy” above will then apply. In the event that the visitor refuses to comply, they should be asked to leave the site immediately and a member of the SLT informed.

The SLT member will consider the situation and decide if it is necessary to inform the police.

If an unknown/uninvited visitor becomes abusive or aggressive, they will be asked to leave the site immediately and warned that if they fail to leave the Academy grounds, police assistance will be called for.

### **Trustees, Ambassadors and Volunteers**

All Trustees, Members, Ambassadors and volunteers must comply with safeguarding procedures and sign in as an approved visitor. The Regional Coordinators will assist in obtaining the DBS, ambassador ID badge and relevant checks for ambassadors. The Governance Team will assist in obtaining the DBS and relevant checks for the Trustees and Members.

New members of the national/regional team will be made aware of this Policy as part of induction as completed by the governance team, RED, ROD or Regional Safeguarding Lead.

New volunteers will be asked to comply with this Policy by the point of contact when coming into the Academy for an activity or class supporting role.

## Appendix 4

### Volunteer Application Form

The Academy is committed to safeguarding and promoting the welfare of children and young people and expects all employees and volunteers to share this commitment.

Applicant's Personnel details

Surname	
First names	
Title (select as appropriate)	Mr <input type="checkbox"/> / Mrs <input type="checkbox"/> / Miss <input type="checkbox"/> / Ms <input type="checkbox"/> / Other <input type="checkbox"/>
Maiden name or previous names	
Address	
Email address	
Correspondence Address (if different from above):	
Daytime telephone number	
Mobile	
Home	

Driving Licence

<b>Only answer if a full driving licence is required for the role.</b>	
Do you hold a current Driving Licence? (select as applicable)	Yes <input type="checkbox"/> / No <input type="checkbox"/>
If YES, please state the type of licence you hold	
Do you have any current endorsements?	Yes <input type="checkbox"/> / No <input type="checkbox"/>

(select as applicable)	
If YES, please specify:	

Why are you applying for voluntary work at the school?

**Please mention any skills or experience that you bring to the role, and explain what you want to achieve from volunteering.**

**References**

Please provide two references and must include your last employer. Where the individual does not have history of employment a character reference can be provided. References cannot be relatives or family members/partner. Please let your referees know that we may contact them.

<b>Employment referee</b>	
Name	
Address	
Tel No:	
Occupation	
Email Address	
<b>Second referee</b>	
Name	
Address	
Tel No:	
Occupation	
Email Address	

**Safeguarding Vulnerable Groups Act 2006**

Have you ever been the subject of any allegations in relation to the safety and welfare of children, young people and/or vulnerable adults, either substantiated or unsubstantiated?	Yes <input type="checkbox"/> / No <input type="checkbox"/>
If you have answered yes to the above question, you must supply details on a separate sheet of paper, place it in a sealed envelope marked confidential and attach it to your application form.	
I have attached details requested	Yes <input type="checkbox"/> / No <input type="checkbox"/>

Please note that it is a criminal offence for a person that has been barred from working with children and young people to work or volunteer in a school.

**Rehabilitation of Offenders Act 1974**

Please note that for any role in a school **you must declare any convictions (including bind over and cautions)** regardless of whether or not they would be considered “spent” in other circumstances.

Have you ever been convicted of a criminal offence?	Yes <input type="checkbox"/> / No <input type="checkbox"/>
Are there any alleged offences outstanding against you?	Yes <input type="checkbox"/> / No <input type="checkbox"/>
If you have answered YES to either of the questions above, please give details below or, if you prefer, attach details in a sealed envelope marked 'strictly confidential'.	

**Declaration**

I declare that the information given on this application form is true and correct	
Signed:	
Date	
Print name	
<b>If form has been completed electronically</b> please place an 'x' in this box to indicate your consent	<input type="checkbox"/>

How to return your form

**Please return your completed application form to:**

**HR Manager, .....**

**Tel: .....**

**E-mail: .....**

## Appendix 5

### Single Central Record (SCR) Check Template

Academy:

Date:

Name:

<b>CHECK</b>	✓
100% of staff from the staff list are recorded on SCR? (Including all new starters)	
All agency/ambassadors/volunteers/contractors that access site are recorded on SCR?	
Are any agency/contractors/volunteers no longer accessing the site removed?	
SCR template includes: Teachers/Professional Services/Agency/Ambassadors/Volunteers/Contractors)	✓
Name of MOS checked (record as 'ALL' if general check):	
No gaps/areas to follow up: Address/DOB/Photo ID	
No gaps/areas to follow up: Role	
No gaps/areas to follow up: Qualifications	
<b>No gaps/areas to follow up: Barred List</b>	
No gaps/areas to follow up: DBS	
No gaps/areas to follow up: EEA/Certificate of good conduct	
No gaps/areas to follow up: S128	
No gaps/areas to follow up: Prohibition from teaching	
No gaps/areas to follow up: Right to work in the UK	
No gaps/areas to follow up: Annual declaration/KCSE	
Complete 'Management Check' tab	
Any DBS issued more than 3 years ago:	

## Appendix 6

### Risk assessment proforma to consider suitability for deployment/continued deployment following a positive disclosure/DBS

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/741597/APPENDICES-Disqualification under the childcare act statguidance 4 .pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/741597/APPENDICES-Disqualification_under_the_childcare_act_statguidance_4_.pdf)

<b>Staff Name</b>		<b>Start Date</b>	
<b>Nature of Work</b>		<b>Post</b>	
<b>Decision</b>			
<p>Overall assessment of risk following this assessment:</p> <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; padding: 5px; margin: 2px;">HIGH</div> <div style="border: 1px solid black; padding: 5px; margin: 2px;">MEDIUM</div> <div style="border: 1px solid black; padding: 5px; margin: 2px;">LOW</div> </div>		<b>Decision based on risk (tick one)</b>	
		<b>(A) Deploy/Continue deployment</b>	<b>(B) Suspend recruitment/Suspend MOS</b>
<b>Nature of Offence</b>	<ul style="list-style-type: none"> <li><b>Is the MOS barred or disqualified from working with children? If 'Yes' then do not proceed with this risk assessment – Inform RSL/DBS</b></li> <li>Is the caution/conviction a 'one off' or are there several?</li> <li>Are the cautions/convictions of a similar nature?</li> <li>Was the MOS a juvenile or adult at the time of the caution/conviction?</li> <li>How long ago was the caution/conviction awarded?</li> </ul>		
<b>Relevance to Post</b>	<ul style="list-style-type: none"> <li>Is the caution/conviction relevant to the role which will be undertaken?</li> <li>Is the MOS likely to be placed in circumstances similar to those in which they previously offended?</li> </ul>		
<b>MOS's Attitude</b>	<ul style="list-style-type: none"> <li>Is the information consistent with that provided by the MOS on application/update? If no, what are the differences?</li> <li>Does the MOS show remorse?</li> <li>Is the context behind the offence cause for concern (e.g. was the conviction for an act of 'self-defence' or a premeditated act)?</li> <li>Does the MOS take responsibility for the offence and recognise the harm that they caused/could have caused?</li> </ul>		

<b>Mitigating Circumstances</b>	<ul style="list-style-type: none"> <li>• Were there particular personal circumstances at that time which led to the offence (e.g. financial hardship/dysfunctional family)</li> <li>• Are those personal circumstances still prevalent now?</li> </ul>		
<b>Detail of Control Measures</b>	<ul style="list-style-type: none"> <li>• E-ACT lanyard colour =</li> <li>•</li> <li>•</li> </ul>		
<b>Signature (Headteacher)</b>		<b>Date</b>	