

Vetting Checks and Single Central Register Policy

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1. Introduction

These procedures provide guidance on Disclosure and Barring Service (DBS) checks and vetting checks which Colchester Institute must complete when appointing staff and also details the Single Central Register (SCR) which Colchester Institute is legally required to maintain for employees and other individuals who work with children (individuals under the age of 18). This policy is written with reference to the Rehabilitation of Offenders Act 1974 and statutory guidance for Colleges “Keeping Children Safe in Education” published by The Department for Education and last updated in September 2021.

2. Disclosure & Barring Service (DBS) Checks

2.1 General Guidelines

The Rehabilitation of Offenders Act 1974 was introduced to ensure that ex-offenders who have not re-offended for a period of time since the date of their conviction are not discriminated against when applying for a job as they are not legally required to disclose to organisations convictions that are ‘spent’ unless the job they are applying for is exempted from the Act.

Due to the nature of our organisation and the roles of individuals within it, all applicants and staff are obliged to declare if they have ‘spent’ and ‘unspent’ criminal convictions, cautions and reprimands or prosecutions pending. Colchester Institute is also able to verify the information provided by requiring applicants and staff to apply to the Disclosure and Barring Service for an Enhanced Disclosure, as recommended for Colleges in the statutory “Keeping Children Safe in Education” guidance.

Colchester Institute will process the check for new employees, however, the cost will be deducted from their first payment of salary.

Having a criminal record is not necessarily a bar to working at Colchester Institute. Rather criminal convictions need to be viewed against the requirements of the role applied for. It should be remembered that no two offences are exactly alike so the relevance of an individual’s criminal record will be different for each and every recruitment decision.

Colchester Institute is required to have policies on the recruitment of ex-offenders and on the secure handling of DBS information. These can be found in the appendices to this policy.

Employees cannot unreasonably refuse to undertake a DBS check, complete an Annual Self Declaration or provide any documentation required in accordance with this policy. Failure to comply with such a request may result in Disciplinary action being taken, including the suspension from duty of the post-holder.

2.2 Regulated Activity

As the majority of staff will be engaging in regulated activity, an enhanced DBS check, which includes barred list information, will be required for most appointments. In summary, a person will be considered to be engaging in regulated activity if, as a result of their work, they:

- will be responsible, on a regular basis for teaching, training instructing, caring for or supervising children; or
- will carry out paid, or unsupervised unpaid work regularly in where that work provides an opportunity for contact with children frequently; or
- engage in intimate or personal care, or overnight activity, even if this happens only once.

The full legal definition of regulated activity is set out in Schedule 4 of the Safeguarding

Vulnerable Groups Act 2006 as amended by the Protection of Freedoms Act 2012. HM Government has produced a factual note on regulated activity in relation to children.

Regulated activity relating to children (i.e. under the age of 18 years)

Includes:

- a) teaching, training, instructing, caring for (see (c) below) or supervising children if the person is unsupervised, or providing advice or guidance on physical, emotional or educational 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.

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

Some activities are always regulated activities, regardless of frequency or whether they are supervised or not. This includes:

- c) relevant personal care, or health care provided by or provided under the supervision of a health care professional:
 - personal care includes helping a child with eating and drinking for reasons of illness or disability or in connection with toileting, washing, bathing and dressing for reasons of age, illness or disability;
 - health care means care for children provided by, or under the direction or supervision of, a regulated health care professional.

Regulated activity relating to adults

Regulated activity in the adult sector no longer depends on the definition of a 'vulnerable adult' but is related to the activity being carried out. Included in the regulated activity for adults are those who provide:

- Healthcare: if they are a regulated health care professional or are acting under the direction of one e.g. a doctor, nurse, healthcare assistant or physiotherapist.
- Personal care: assistance with washing and dressing, eating, drinking and toileting or prompting or teaching someone to do one of these tasks.
- Social work: provision by a social care worker of social work which is required in connection with any health services or social services.
- Assistance with a person's cash, bills or shopping because of their age, illness or disability.
- Assistance with the conduct of an adult's own affairs e.g. power of attorney.
- Conveying adults for reasons of age, illness or disability to, from or between places where they receive healthcare, personal care or social work. This would not include friends, family or taxi drivers.

The HR Team check each role based on the job description provided and will confirm whether the role is designated regulated activity and are responsible for ensuring appropriate checks are carried out.

2.3 Governors and Safeguarding Officers

Governors

Like all staff, Governors will be subject to an Enhanced DBS Check **without** Barred List Check unless the role of the Governor is deemed to be Regulated Activity. Governors are volunteers and so the DBS check for them incurs no charge from the Disclosure and Barring Service. Governors are required to complete an Annual Self Declaration in line with 2.4 below.

Safeguarding Officers

Due to the nature of this role, staff who are Safeguarding Officers alongside their normal duties will be subject to an Enhanced DBS Check **with** Barred List check as activity they are carrying out is deemed to be Regulated Activity.

2.4 Annual Self Declarations and Repeat DBS checks

Colchester Institute requires all staff with more than 12 months service to provide an annual self-declaration that there has been no change to criminal convictions and no criminal prosecutions are pending since the last annual declaration/DBS check, whichever is the most recent. This is a mandatory requirement and failure to comply may result in disciplinary action being taken

2.4.1 Repeat Checks on Existing Staff

There are limited circumstances where Colchester Institute will need to carry out new checks on existing staff these are:

- Where a member of staff moves from a post that was not regulated activity with children into work which is considered to be regulated activity with children.
- Where there has been a break in service of 12 weeks or more
- There are concerns about an individual's suitability to work with children e.g. safeguarding concerns or new criminal convictions are disclosed.

Colchester Institute will pay for such repeat checks.

The decision to conduct repeat DBS Disclosures rests with the Director of Human Resources.

2.5 Criminal Convictions Disclosure

Any member of staff who receives a reprimand or is cautioned or convicted of an offence at any time during the course of their employment must notify the Director of Human Resources without delay. Failure to notify may result in disciplinary action being taken, including the suspension from duty of the post-holder.

In the event of new information of concern being revealed on an annual self-declaration, renewed DBS disclosure, or in the event of a member of staff disclosing a recent reprimand, caution or conviction, a decision will then be taken as to whether the information provided is material to the continuation of employment.

When new information is disclosed or revealed on the DBS Disclosure, a meeting is required between the individual, their line manager and HR Business Partner, and the following issues will be considered:

- Whether the conviction or other matter revealed is relevant to the position in question
- The seriousness of the offence or other matter revealed with particular consideration of offences of a sexual, violent, dishonest, or fraudulent nature
- The length of time since the offence or other matter occurred
- Whether the individual has a pattern of offending behaviour or other relevant matters
- Whether the individual's circumstances have changed since the offending behaviour or other relevant matters
- The circumstances surrounding the offence and the explanations offered
- Country of conviction
- Whether the offence has subsequently been decriminalised

Once the meeting is concluded, the HR Business Partner will refer the matter to the Director of Human Resources for consideration. If they are satisfied that the information does not give cause for concern and information revealed on any DBS Disclosure tallies with that revealed by the individual, the individual's position and employment with Colchester Institute will remain unaffected. This will be confirmed, in writing, to the individual concerned advising them that there is no risk for their employment continuing; however, should further information be received then the case may be reviewed.

If it is deemed that the information provided does give cause for concern, the matter will be referred to a DBS Panel consisting of the Director of Human Resources, the CLMG manager of the relevant area, and the Vice Principal: Student Services and Support, whose role also encompasses that of Colchester Institute's Designated Senior Person for Safeguarding purposes.

If the DBS panel decide that there is a fundamental question as to whether the individual's employment should continue, the matter will be progressed appropriately and potentially under Colchester Institute's Disciplinary procedure.

For any situation where a criminal conviction is disclosed, a record of discussions will be made and held securely on staff personnel files so it can be demonstrated that the organisation dealt with the matter and what it did at that time.

Colchester Institute will undertake any such actions it is obliged to carry out as required by the DBS and statutory provision. This will include ensuring that procedures are in place to make a referral to the Disclosure and Barring Service (DBS) if a person in regulated activity is dismissed or removed due to safeguarding concerns, or would have been had they not resigned. This is a legal duty and failure to refer when the criteria are met is a criminal offence. Referral to DBS in these circumstances will normally be conducted by the Director of Human Resources

2.6 Risk Assessments

In cases where an enhanced DBS has not been obtained prior to the start date, a Risk Assessment and a Barred List check are mandatory for all roles that are deemed to be Regulated Activity, including non-employee roles. Appropriate supervision will be put in place as part of this risk assessment,

Where a Risk Assessment is required role, the CLMG/Curriculum Area Head/Manager is responsible for ensuring it is completed to determine the required supervision, Human Resources will confirm when an acceptable DBS disclosure has been received and at that time the Risk Assessment requirement can cease.

Colchester Institute's Risk Assessment template is attached to the appendices of this policy.

2.7 Barred List Check using Teacher Regulation Agency

For roles which are designated Regulated Activity the Human Resources team will check the Barred List through the Teacher Regulation Agency on-line service, prior to the start date. This list contains details of individuals who are barred from working with children.

Where staff move into roles deemed to be Regulated Activity a barred list check will be undertaken.

This list must also be checked for any non-employee worker or volunteer whose role is designated Regulated Activity.

Further information regarding DBS checks can be found in Colchester Institute's Recruitment and Selection Policy and Procedure.

2.8 DBS Update Service

Individuals can join the DBS Update Service at the point an application for a new DBS check is made, enabling future status checks to be carried out to confirm that no new information has been added to the certificate since its issue. This allows for portability of a certificate across employers. There is an annual fee for applicants using the update service which would be a cost borne by them.

As a College we can use the update service to conduct a DBS check – this will be speedier and will save the individual paying for a further DBS check if it is required. Any action in relation to using the Update Service will be carried out by the HR team. Before using the Update Service, the HR team must:

- a. obtain consent from the applicant to do so
- b. confirm the certificate matches the individual's identity, and
- c. examine the original certificate to ensure that it is for the appropriate workforce and level of check, e.g. enhanced certificate/enhanced including barred list information.

The HR team can then subsequently carry out a free online check. This would identify whether there has been any change to the information recorded, since the initial certificate was issued and advise whether the individual should apply for a new certificate. Individuals will be able to see a full list of those organisations that have carried out a status check on their account.

2.9 DBS Process and Responsibilities

Colchester Institute uses an umbrella body to conduct DBS checks online. This company manages the process on behalf of Colchester Institute

The HR team have the responsibility for maintaining the SCR and will actively monitor DBS checks submitted and the progress of them. This will include escalating with line and senior managers where individuals are not providing information to enable a DBS check to take place – e.g. completing on-line DBS form or providing evidence of identity. Where individuals do not complete actions required of them:

- for staff, this may initiate the Disciplinary procedures and Colchester Institute reserves the right to suspend staff from duty
- for applicants, the offer of employment may be withdrawn.

3. Right to Work in the U.K.

Under the Immigration, Asylum and Nationality Act 2006 all employers have a responsibility to prevent illegal migrants working in the UK. To discharge this responsibility Colchester Institute is required to check certain original documents prior to an individual commencing employment. Therefore, all new staff employed by Colchester Institute must provide documentation to prove that they have the right to work in the UK. Further information is provided in the Recruitment and Selection Policy and Procedure.

This process is managed by the Human Resources team who follow the UK Border Authority requirements. In addition, staff may be required to provide updated documents upon request. Failure to provide these documents may initiate Disciplinary procedures and Colchester Institute reserves the right to suspend staff from duty.

4. Single Central Record (SCR)

4.1 General Guidelines

Colchester Institute is legally required to have in place a Single Central Record (SCR, referred to in the regulations as the record) of staff providing education to children. The information that must be recorded is whether the following checks have been carried out or certificates obtained, and the date on which each check was completed/certificate obtained:

- identity check
- barred list check
- enhanced DBS check/certificate
- further checks on people living or working outside the UK
- check of professional qualifications
- check to establish the person's right to work in the United Kingdom
- prohibition from teaching check

Information on the SCR is completed by HR staff with accountability for doing so, with overall responsibility for the SCR resting with the Director of Human Resources.

Non-employees can be categorised as follows:

- Contractors
- Other organisation workers
- Agency workers
- Volunteers
- Self-employed workers
- Casual workers

For all these workers it would be expected that the normal minimum standard for DBS check at Colchester Institute is maintained – i.e. Enhanced DBS check in place. Any exception to this being managed via operational management completion of a Risk Assessment.

For any non-employee in Regulated Activity, Colchester Institute will conduct its own Barred List check, whether a DBS check is in place or not.

For casual and self-employed workers, Colchester Institute will charge the individuals for DBS checks. Volunteers are not charged. Contractors, agency and other organisation workers will be expected to have their organisation conduct their DBS checks.

It is the responsibility of HR to maintain an up-to-date SCR for non-employees. All College managers responsible for non-employees must ensure that HR is given at least 72 hours' notice of new non-employees coming on site, to enable checks to be undertaken and

access to systems given, as appropriate. This means the Vetting Forms need to be completed ahead of time. Failure to do this may result in disciplinary action being taken. HR will provide a copy of the current SCR list to contract managers for checking on a fortnightly basis to ensure correct information is maintained.

4.2 Agency Workers

If an agency worker's position involves working in regulated activity the following confirmation must be obtained from the Agency prior to the individual commencing employment using the Agency Worker Vetting Form (see Appendix D):

- The identity of the individual has been checked.
- Confirmation that the individual has the right to work in the UK
- Confirmation that a satisfactory enhanced DBS Disclosure is held
- Date of the DBS disclosure – it is expected that the DBS disclosure date will be within the last 3 years DBS Disclosure Number.
- Confirmation that relevant qualifications e.g. teaching qualifications & Assessor Awards have been checked.
- Confirmation that the Agency is satisfied that the individual is suitable to work with children.

If the Agency is in the process of obtaining an enhanced DBS Disclosure the individual may start work subject to CLMG manager/Curriculum Area Head/Head of School completion of a Risk Assessment. However, a satisfactory Barred List check through TRA must be obtained by the HR team.

When the individual commences work at Colchester Institute photographic proof of identity should be checked and the agency vetting form endorsed. The completed vetting form must be provided to HR who will add the information to the Single Central Record. Line managers should inform HR when the agency worker has completed their period of work.

4.3 Contractors and Sub-Contractors

It is unlikely that a contractor or subcontractor will be engaged to work at Colchester Institute in Regulated Activity. However, should they do so the terms of the contract should require the Contractor to adopt and implement safer recruitment principles. The contractor is also responsible for ensuring that the same procedures are followed by any sub-contractor.

Contractors and sub-contractors who may have regular contact with children should be included on Colchester Institute SCR. These will include Catering and Cleaning staff as well as staff who carry out major works and who will be on site frequently. Standard DBS Checks will be required, to be undertaken by the Contractor.

Prior to the individual starting work at Colchester Institute the Contractor must supply the following information on the Contractor Vetting Form (see Appendix E):

- Confirmation that the identity of the individual has been checked.
- Confirmation that the individual has the right to work in the UK

When the individual commences work at Colchester Institute photographic proof of identity will be checked and the Contract Worker Vetting Form must be completed by the College Department who manages the contract.

The completed vetting form must then be provided to HR who will add the information to the Single Central Record. The department who manages the contract must ensure that they

are made aware of any and all staff changes and that they notify the HR team who will update the Single Central Record.

If the role involves regulated activity then the additional information below must be provided on the Contractor Vetting Form.

- Confirmation that a satisfactory DBS Disclosure is held
- Type of DBS Disclosure held
- Date of the DBS disclosure – it is expected that the DBS disclosure date will be within the last 3 years
- DBS Disclosure Number
- Confirmation that the Contractor is satisfied that the individual is suitable to work with children.

In agreement with the relevant College CLMG Manager/Curriculum Area Head/Head of School an individual can start work prior to the receipt of a DBS. However, the barred list must be checked by HR, as appropriate, before this agreement is given and the Contractor must give written confirmation that the individual will be supervised at all times.

4.4 Casual Workers

Prior to a casual worker commencing work the line manager must complete the casual worker vetting form (see Appendix F) in liaison with the HR Team who will work with the line manager to ensure the appropriate checks are carried out.

If the work is Regulated Activity the individual must hold a satisfactory DBS disclosure. An individual working in Regulated Activity may start work prior to the receipt of a DBS subject to the completion of a Risk Assessment. However, a satisfactory TRA On-Line barred list check must be obtained by the HR team before the individual commences work. Any DBS check required that is administered by Colchester Institute will need to be paid for by the casual Worker.

When the individual commences work at Colchester Institute photographic proof of identity must be checked and the casual worker form endorsed. The completed vetting form and copy of documentation detailing the individual's right to work in the UK must be provided to HR who will add the details to the Single Central Register if required. Line managers must inform HR when the casual worker finishes working for Colchester Institute.

4.5 Self Employed

Prior to using a Self Employed individual in a role which is regulated activity the Line Manager must liaise with the HR team to ensure the appropriate checks are carried out prior to the start of the employment. These will include a satisfactory enhanced DBS Disclosure and Teaching qualification if appropriate. This will be paid for by the individual. The HR Team will add the information to the Single Central Record. Line managers must complete the Self-Employed Vetting Form (see Appendix I) and must inform HR when the self-employed individual finishes working for Colchester Institute.

*Further information on using Self Employed workers can be found in the **Self Employed and Casual Worker Procedures** available under HR Policies on the Portal.*

4.6 Workers from other organisations

There may be occasions when workers from other organisations attend Colchester Institute to provide support to one or more learners. The employing organisation is responsible for ensuring the appropriate vetting checks are carried out but these must be confirmed to Colchester Institute using the Other Organisation Worker Vetting Form (see Appendix G).

The completed vetting form should be provided to HR who will add the information to the Single Central Record. The department where the worker provides support should ensure that any staff changes are notified to the HR team who will update the Single Central Record.

4.7 Volunteers

If a department intends to use a volunteer then the Other Worker / Volunteer Vetting Form (see Appendix H) must be completed in liaison with the HR Team who will work with the line manager to ensure the appropriate checks are carried out.

If the work is Regulated Activity (please note that supervised volunteers may not be deemed to be in Regulated Activity – managers are advised to seek advice from the HR team) the individual should hold a satisfactory DBS disclosure. An individual working in Regulated Activity may start work prior to the receipt of a DBS subject to the completion of a risk assessment. However, a satisfactory TRA On-Line barred list check must be obtained by the HR team before the individual commences work.

When the volunteer commences work at Colchester Institute photographic proof of identity should be checked and the completed vetting form and copy of documentation detailing the individual's right to work in the UK should be provided to HR who will add the details to the Single Central Register if required. Line managers should inform HR when the volunteer finishes working for Colchester Institute.

5. Safeguarding Training

It is mandatory that the following safeguarding training, is undertaken by new staff when joining Colchester Institute. This on-line training is required to have taken place within 4 weeks of the start date:

- Level 1 Safeguarding
- Working with Prevent Duty
- Online Safety
- Peer on Peer Sexual Abuse

Face to face (Level 2) safeguarding training is also part of induction, and the new employee is expected to attend the next available session to complete this.

Failure to carry out this mandatory training could mean that the disciplinary procedure is initiated and Colchester Institute reserves the right to suspend staff from duty.

Staff are required to undertake on-line or face to face safeguarding refresher training as appropriate every 3 years (or sooner for Designated Leads and Deputies); this is also a mandatory requirement and if staff do not fulfil their obligation the disciplinary policy may be initiated and suspension from duties undertaken. In addition, it is a requirement that Prevent training is refreshed every 3 years.

Safeguarding training will also be provided as appropriate to Governors, Contractors, Sub-Contractors and Volunteers. Individuals from other organisations who come into Colchester Institute to support or work with students will be provided with an information sheet detailing Colchester Institute's safeguarding commitment.

6. Retention of Documents

To comply with the requirements of the Data Protection Act 2018 Colchester Institute does not keep copies of DBS certificates, but a record is kept of the disclosure number on the Single Central Record. See also Appendix C, Data Protection

7. Associated Policies and Procedures

- Safeguarding Policy
- Recruitment and Selection Policy/Procedure
- Self Employed and Casual Worker Procedures
- Volunteers and Work Experience Guidelines
- Equality and Diversity Policy
- Data Protection Policy
- Health and Safety Policy

8. Help and Advice

For further guidance on specific issues please contact the Human Resources team.

Appendix A

Risk Assessment for individuals working prior to DBS check received

Name	
Role	
Is the role in Regulated Activity	
Department	
Date of Commencement	
Responsible CMG/Area Head Manager	

A Risk Assessment should be completed for individuals who start work prior to the receipt of a satisfactory Disclosure & Barring Service (DBS) check to determine the supervision which will be required.

Appropriate supervision needs to reflect what is known about the person concerned, their experience, the nature of their duties and the level of responsibility they will carry. For those with limited experience in working with individuals aged under 18 or vulnerable adults the level of supervision may be high. For those with more experience and where references provide strong evidence of good conduct in previous relevant work a lower level of supervision may be appropriate.

For all individuals without a completed DBS check it should be made clear that they are subject to this additional supervision. The nature of the supervision should be specified and the arrangements should be reviewed regularly, at least every 4 weeks until a satisfactory DBS check is received.

Barred lists checked by HR via the TP on line facility. Only required for roles which are defined as regulated activity.	
Does the individual currently hold a DBS Disclosure which has been seen by HR?	
If yes – Date of issue of DBS Disclosure	
If yes – DBS Certificate Number	

Step 1 The Task

What contact will the individual have with individuals aged under 18 or vulnerable adults?

Step 2 The Risks

What are the risks? Who will be at risk? What is the likelihood of the risk occurring? Will there be any unusual or special circumstances which need to be considered? Does the individual have previous recent experience in working with individuals aged under 18 and/or vulnerable adults? Does the individual currently hold a recent CRB/DBS Disclosure form?

Step 3 What controls exist now?

What current systems are in place?

--

Step 4 What new controls will you put in?

What additional supervision or checks will be put in place?

Who will be responsible for carrying out the additional controls?

--

Step 5 Will the controls be suitable & sufficient to reduce the risks?

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Assessment Completed By	
Arrangements confirmed to individual	
Signature by CMG/Area Head Manager	
Date	

Risk Assessment Review Record

This risk assessment should be reviewed regularly; at least every 4 weeks until HR have confirmed that a satisfactory DBS check is received. A note of the review should be detailed below:

Review Completed By	
Details of any changes	
Signature	
Date	

Review Completed By	
Details of any changes	
Signature	
Date	

The Risk Assessment must be sent to the HR team with a copy retained securely by the department and destroyed once HR confirm that a satisfactory disclosure has been received.

Appendix B

Colchester Institute - Policy on recruitment of ex-offenders

The Rehabilitation of Offenders Act 1974 was introduced to ensure that ex-offenders who have not re-offended for a period of time since the date of their conviction are not discriminated against when applying for a job as they are not legally required to disclose to organisations convictions that are 'spent' unless the job they are applying for is exempted from the Act.

Due to the nature of our organisation and the roles of individuals within it, all applicants are obliged to declare if they have 'spent' and 'unspent' criminal convictions, cautions and reprimands or prosecutions pending. Colchester Institute is also able to verify the information provided by asking the candidate to apply to the Disclosure and Barring Service for an Enhanced Disclosure. Colchester Institute will process the check for new employees, however, the cost will be deducted from their first payment of salary.

As an organisation assessing suitability for positions which are included in the Rehabilitation of Offenders Act 1974 (Exceptions) Order using criminal record checks processed through the Disclosure and Barring Service (DBS), Colchester Institute complies fully with the DBS Code of Practice and undertakes to treat all submissions fairly. Colchester Institute undertakes not to discriminate unfairly against any subject of a criminal record check on the basis of a conviction or other information revealed.

Colchester Institute can only ask an individual to provide details of convictions and cautions that Colchester Institute are legally entitled to know about. Where a DBS certificate can legally be requested (where the position is one that is included in the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 as amended, and where appropriate Police Act Regulations as amended), Colchester Institute can only ask an individual about convictions and cautions that are not protected.

- Colchester Institute is committed to the fair treatment of its staff, potential staff or users of its services, regardless of race, gender, religion, sexual orientation, responsibilities for dependants, age, physical/mental disability or offending background.
- Colchester Institute has this written policy on the recruitment of ex-offenders, which is made available to all DBS applicants.
- Colchester Institute actively promotes equality of opportunity for all with the right mix of talent, skills and potential and welcome applications from a wide range of candidates, including those with criminal records.
- Colchester Institute ensures that all those in Colchester Institute who are involved in the recruitment process have been suitably trained to identify and assess the relevance and circumstances of offences. Colchester Institute also ensures that they have received appropriate guidance and training in the relevant legislation relating to the employment of ex-offenders, e.g. the Rehabilitation of Offenders Act 1974.
- At interview, or in a separate discussion, Colchester Institute ensures that an open and measured discussion takes place on the subject of any offences or other matter that might be relevant to the position. Failure to reveal information could lead to withdrawal of an offer of employment or impact on a current staff member's employment.

- Colchester Institute makes every subject of a criminal record check submitted to DBS aware of the existence of the DBS Code of Practice by advising of the location on the internet <https://www.gov.uk/government/publications/dbs-code-of-practice> or by providing a copy on request.
- Colchester Institute undertakes to discuss any matter revealed on a DBS certificate with the individual seeking the position before withdrawing a conditional offer of employment.

Appendix C

Data Protection

Colchester Institute processes information about an individual's criminal convictions in accordance with its **Data Protection Policy**. In particular, data collected during recruitment is held securely and accessed by, and disclosed to, individuals only for the purposes of completing the recruitment process. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the organisation's data protection policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the disciplinary procedure.

Once an individual is recruited, information about their criminal record gathered in the course of the vetting process will not be transferred to their personnel file.

Colchester Institute is also committed to going through the proper DBS channels to establish whether or not an individual has a criminal record. The organisation will not require job applicants or existing employees to use their subject access rights under data protection provisions to provide criminal record details.

Appendix D

Colchester Institute Agency Worker Vetting Form

This form must be completed and forwarded to HR with the relevant documentation, prior to the individual commencing at Colchester Institute

Details of Proposed Employment

Centre/Department	
Role	

Does the role involve regulated activity?

This is unsupervised activities: teach, train, instruct, care for or supervise children, or provide advice/guidance on well being, or drive a vehicle only for children.

Work is only regulated activity if done regularly. 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).

Yes		No	
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Prior to an Agency Worker commencing work Colchester Institute requires the following details to be provided.

To be completed by Agency regarding Agency worker

First Name				
Surname				
Date of Birth				
Does the individual named above have the right to work in the UK and does the Agency have copies of the appropriate documentation?	Yes		No	
Has the identity of the individual been checked	Yes		No	
For posts which involve regulated activity				
Does the Agency hold a satisfactory enhanced DBS Disclosure?	Yes		No	
Date of DBS Disclosure				
DBS Disclosure Number				
Is the Agency satisfied that the individual is suitable to work with children or vulnerable adults?	Yes		No	
For Teaching Posts				
Does the individual hold a teaching qualification which the Agency has verified?	Yes		No	
For Assessor Posts				
Does the individual hold an assessor qualification which the Agency has verified?	Yes		No	
Signed				
Name				
Name of Agency				

Date	
-------------	--

The Agency worker must bring photographic evidence of identification on their first day of work.

To be completed by the Colchester Institute Department

First Date of Engagement	
Proposed End Date of Engagement	
Photographic Identity Checked	

If the role involves regulated activity and the Agency does not hold an Enhanced DBS Disclosure please discuss with a member of the HR team prior to the individual starting as there will be a need to complete a DBS Risk Assessment Form.

Safeguarding and Data Protection:

Confirmation that the Agency Worker has been given Safeguarding and Data Protection Leaflet?	Tick Box <input type="checkbox"/>
Please confirm the date that the information was provided.	

Signed	
Name	
Centre/Department	
Date	

If you have not done so already please ensure that you have sent a fully approved Other Worker Control Form to HR.Resourcing@Colchester.ac.uk

Please email the completed Vetting Form to HR.Resourcing@Colchester.ac.uk

Please inform the HR team when the Agency Workers period of engagement has ended.

A new Agency Worker Vetting Form must be completed for each period of work.

Colchester Institute Contractor Vetting Form

This form must be completed for all contractors who may have regular contact with children as well as staff who carry out major work and who will be on site frequently. It must be forwarded to HR with the relevant documentation, prior to the individual attending Colchester Institute

**Information to be supplied by the contractor company.*

Details of Contract Worker

First Name	
Surname	
Date of Birth	
Name of Contractor Company	
Reason for being on site	
Start date	
Expected end date	

Does the role involve regulated activity? *

This is unsupervised activities: teach, train, instruct, care for or supervise children, or provide advice/guidance on wellbeing, or drive a vehicle only for children. Work is only regulated activity if done regularly. 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)

Yes		No	
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Does the contractor have an opportunity for regular contact with children? i.e. moves freely around the Campus? **

Yes		No	
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To be completed by the Contractor Company

Prior to the individual starting work the Contractor must supply the following information:

Does the individual named above have the right to work in the UK and does the Contractor have copies of the appropriate documentation?	Yes	
Has the identity of the individual has been checked?	Yes	

*** If the Contractor is working in regulated activity please complete the following:**

Does the Contractor hold a satisfactory enhanced DBS Disclosure which includes a check of the children's barred list?	Yes	
Date of DBS Disclosure (within the last 3 years)		
DBS Disclosure Number		

Is the Contractor satisfied that the individual is suitable to work with children?	Yes	
Signed		
Name		
Date		

**** If the Contractor has an opportunity for regular contact with children please complete the following:**

Does the Contractor hold a satisfactory standard DBS Disclosure?	Yes	
Date of DBS Disclosure (within the last 3 years)		
DBS Disclosure Number		
Is the Contractor satisfied that the individual is suitable to work with children?	Yes	
Signed		
Name		
Date		

To be completed by the Colchester Institute Department

Safeguarding and Data Protection:

Confirmation that the Contract Worker has been given Safeguarding and Data Protection Leaflet	
Please confirm the date that the information was provided.	

The Contract worker must bring photographic evidence of identification on their first day of work which should be checked by a member of the College staff.

Photographic Identity Checked	
Signed	
Name	
Department	
Date	

Please forward the completed Contract Worker Vetting Form to hr.resourcing@colchester.ac.uk, they must also be informed when the individual leaves.

For Contractors working in regulated activity, if the DBS is not held prior to the individual starting work at the College the HR Team must check that the individual is not on the barred list for working with children.

Date Barred Service Online check completed by HR.	
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Appendix F

Colchester Institute Casual Worker Vetting Form

This form should be completed and forwarded to HR with the relevant documentation, prior to the individual commencing work at Colchester Institute

Details of Casual Worker:

First Name:		Surname:			
Date of Birth:		Email address:			
Title of Job Role:					
Anticipated Working Pattern:	Mon	Tues	Wed	Thu	Fri
Pay Rate Agreed:					
Does the individual require:	Access onto Site			Yes / No	
	An IT account			Yes / No	
	Please specify the period of engagement which can be no longer than 3 months. For IT security purposes, please note that IT accounts for casual workers will have their active status moved to inactive by default at the end of each term			From	To

<p>Does the individual named above have the right to work in the UK? This would normally be a British Passport or a full British Birth Certificate plus documentary proof of National Insurance Number. The original documents need to be verified by the Recruiting Manager and attached to this form.</p>	Yes / No
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Disclosure and Barring Service (DBS):

Does the role involve Regulated Activity?	Yes	No
Is the individual registered with the DBS Update Service?	Yes	No
If Yes, does the individual give permission for Colchester Institute to make a check against that? (signature required & original DBS to be seen by HR)		
Has the individual completed a Disclosure of Criminal Conviction Form?	Yes	No
Date of Original DBS:		
DBS Number:		

If the individual is not registered with the update service or the DBS check has not been completed as yet and is working in regulated activity then they will need a DBS Risk Assessment to be completed and a barred list check prior to them starting.

Safeguarding and Data Protection:

<p>Recruiting Manager to confirm that the Casual Worker has received a copy of Colchester Institute's Safeguarding and Data Protection Leaflet?</p>	Tick Box <input type="checkbox"/>
Please confirm the date that the information was provided.	

Name of Recruiting Manager:	
Signed:	
Department:	
Cost Code:	
Date:	
CMG Manager Authorisation	
Name:	
Signed:	
Date:	

Colchester Institute Casual Worker Vetting Form

Declaration Form – Previous Convictions

In light of the information on the Declaration Form regarding criminal offences the individual is:

Acceptable for the role	Line Manager	HR
Not acceptable for the role	Line Manager	HR

Recruiting Manager to attach the following documents to this form:

Documents	Please tick
Right To Work Documents – original documents must be verified by the Recruiting Manager	
DBS documents	
Risk Assessment	
Original DBS	
Self-Declaration	

Please email the completed Casual Worker Vetting Form to HR.Resourcing@Colchester.ac.uk

Appendix G

Colchester Institute Other Organisation Worker Vetting Form

This form must be completed and forwarded to HR with the relevant documentation, prior to the individual commencing at Colchester Institute where workers from other organisations attend Colchester Institute to provide support to learners who are aged under 18 or whose role provides regulated activity to adults.

All such workers **must hold** a satisfactory enhanced DBS Disclosure and have the right to work in the UK.

To be completed by the Organisation supplying the worker:

Details of Worker:

First Name:			
Surname			
Date of Birth:			
Role:			
Name of Learner(s) being Supported:			
Course Title or Centre:			
Period of engagement	Start date		End date
Does the individual require access to a College IT account?	Yes		No
If an IT account is required, please specify the period of engagement for the account. <small>For IT security purposes, please note that IT accounts for other organisation workers will have their active status moved to inactive by default at the end of term.</small>	From		To
Does the individual require an ID card?	Yes		No
Name of Contact/Manager at Colchester Institute			

Does the individual named above have the right to work in the UK and does the Organisation have copies of the appropriate documentation?	Yes		No	
Has the identity of the individual been checked	Yes		No	
Does the Organisation hold a satisfactory enhanced DBS Disclosure?	Yes		No	
Date of DBS Disclosure				
DBS Disclosure Number				
Are you aware of any reason why this individual would not be suitable to work with children and vulnerable adults?	Yes		No	

Regulated Activity

Does the role involve Regulated Activity?	Yes		No	
If YES , then a Colchester Institute will perform a List 99/Barred List check				

To be completed by Organisation:

Signed:	
Print name:	
Name & Address of Organisation:	
Contact telephone number:	
Date:	

Please email the completed form to the Manager at Colchester Institute that is co-ordinating the Worker from your Organisation.

For the Contact/Manager at Colchester Institute

Please review this form and any relevant documentation and then email it to HR.Resourcing@Colchester.ac.uk

Please also contact HR when the individual no longer works at Colchester Institute.

Appendix H

Colchester Institute Other Worker or Volunteer Vetting Form

This form must be completed and forwarded to HR with the relevant documentation, prior to the individual commencing at Colchester Institute

It should also be used if a Learner is supported by a worker they employ directly or a relative. If this Worker does not hold a DBS Disclosure written confirmation from the Learner or appropriate person must be obtained to confirm that they wish to be supported by the individual in Colchester Institute.

The form should also be used if the work of a Guest Speaker involves regulated activity.

Details of Worker / Volunteer:

First Name:		Surname:		
Date of Birth:		Email address:		
Title of Job Role:				
Brief description of support being undertaken:				
Does this role require:	Access onto Site	Yes / No		
	An IT Account	Yes / No		
	If an account is required, please specify the period of engagement. <small>For IT security purposes, please note that IT accounts for other workers or volunteers will have their active status moved to inactive by default at the end of each term.</small>	From	To	

<p>Does the individual named above have the right to volunteer in the UK?</p> <p>This would normally be a British Passport or a full British Birth Certificate plus documentary proof of National Insurance Number.</p> <p>(The original documents need to be verified by the Recruiting Manager and attached to this form)</p>	Yes / No
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Disclosure and Barring Service (DBS):

Does the role involve Regulated Activity?	Yes	No
Is the individual registered with the DBS Update Service?	Yes	No
If Yes, does the individual give permission for Colchester Institute to make a check against that? (signature required & original DBS to be seen by HR)		
Has the individual completed a Disclosure of Criminal Conviction form?	Yes	No
Date of Original DBS:		
DBS Number:		

If the work is Regulated Activity (please note that supervised volunteers may not be deemed to be in Regulated Activity – managers are advised to seek advice from the HR team) the individual should hold a satisfactory DBS disclosure. An individual working in Regulated Activity may start work prior to the receipt of a DBS subject to the completion of a risk assessment. However, a satisfactory TRA On-Line barred list check must be obtained by the HR team before the individual commences work.

Safeguarding and Data Protection:

Recruiting Manager to confirm that the Other Worker or Volunteer has received Colchester Institute’s Safeguarding and Data Protection Leaflet?	
Please confirm the date that the information was provided.	

Name of Recruiting Manager:	
Signed:	
Team:	
Department:	
Cost Code:	
Date:	
CMG Manager Authorisation	
Name:	
Signed:	
Date:	

Declaration Form – Previous Convictions

In light of the information on the Declaration Form regarding criminal offences the individual is:

Acceptable for the role	Line Manager	HR
Not acceptable for the role	Line Manager	HR

You are required to attach the following documents with this form:

Documents	Please tick
Right To Work (Volunteer) Documents – must be verified by Line Manager	
DBS ID documents (if required)	
Risk Assessment (if required)	
Original DBS	
Self-Declaration	

Please email the completed Vetting Form to HR.Resourcing@Colchester.ac.uk

Line managers should inform HR when the volunteer finishes working for Colchester Institute

Official – HR Checklist and Sign off

RTW Documents

Barred List Online check

DBS Reviewed

APPENDIX I

Colchester Institute Self Employed Vetting Form

This form should be completed and forwarded to HR with the relevant documentation, prior to the individual commencing at Colchester Institute.

Details of Self Employed Individual:

First Name:		Surname:			
Date of Birth:		Email address:			
Title of Job Role:					
Anticipated Working Pattern:	Mon	Tues	Wed	Thu	Fri
Does the individual require:	Access onto Site			Yes / No	
	An IT account			Yes / No	
	If an IT account is required, please specify the period of engagement. <small>(for IT Security purposes, please note that accounts for self-employed workers will have their active status moved to inactive by default at the end of each term)</small>			From	To

<p>Has the individual named above produced photographic Identification documents?</p> <p>This would normally be a British Passport, Driving Licence or CITB CSCS card. Original documents need to be verified by the Recruiting Manager and attached to this form.</p>	Yes/No
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Disclosure and Barring Service (DBS):

Does the role involve Regulated Activity?	Yes	No
Is the individual registered with the DBS Update Service?	Yes	No
If Yes, does the individual give permission for Colchester Institute to make a check against that? (signature required & original DBS to be seen by HR)		
Has the individual completed a Disclosure of Criminal Conviction Form?	Yes	No
Date of Original DBS:		
DBS Number:		

Safeguarding and Data Protection:

Recruiting Manager to confirm that the Self Employed Worker has received a copy of Colchester Institute's Safeguarding and Data Protection Leaflet?	
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Please confirm the date that the information was provided:	
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Name of Recruiting Manager:	
Signed:	
Team:	
Department:	
Cost Code:	
Date:	
CMG Manager Authorisation	
Name:	
Signed:	
Date:	

Colchester Institute Self Employed Vetting Form

Declaration Form – Previous Convictions

In light of the information on the Declaration Form regarding criminal offences the individual is:

Acceptable for the role	Line Manager	HR
Not acceptable for the role	Line Manager	HR

You are required to attach the following documents with this form:

Documents	Please tick
Photographic Identification documents - must be verified by Line Manager Driving License, Passport or CITB CSCS Card	
DBS ID documents	
Risk Assessment	
Original DBS	
Self-Declaration	
Self Employed Registration Form	
Self Employed Tax Offset Mandate Form	

Official – HR Checklist and Sign off	
RTW Documents	
TP Online check	
DBS Reviewed	
Self Employed Registration Form	
Self Employed Tax Offset Mandate Form	