

# Vetting Checks and Single Central Record (SCR) Policy

Policy Details	
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## Equality Impact Assessment Tool

Name of Policy: Vetting Checks and Single Central Record (SCR) Policy

		Yes/No	Comments
1	<b>Does the policy/guidance affect one group less or more favourably than another on the basis of:</b>		
	Race or ethnicity	No	
	Disability	No	
	Gender	No	
	Religion or belief	No	
	Sexual orientation	No	
	Age	No	
	Marriage and Civil Partnership	No	
	Maternity and Pregnancy	No	
	Gender Reassignment	No	
2	<b>Is there any evidence that some groups are affected differently?</b>	No	
3	<b>If you have identified potential discrimination, are any exceptions valid, legal and/or justifiable?</b>	N/A	
4	<b>Is the impact of the policy/guidance likely to be negative/</b>	No	
5	<b>If so, can the impact be avoided?</b>	N/A	
6	<b>What alternatives are there to achieving the policy/guidance without the impact?</b>	N/A	
7	<b>Can we reduce the impact by taking different action?</b>	N/A	

## **1. Introduction**

### **1.1 Policy Statement**

Colchester Institute is committed to safeguarding and promoting the welfare of learners and expects all staff and volunteers to share this commitment.

### **1.2 Policy Context**

Colleges have a legal responsibility to do whatever they can to stop dangerous people from gaining access to their students. This means thoroughly checking the suitability and backgrounds of all staff and making sure that any volunteers, contractors and visitors are also appropriately checked or supervised. It's a crucial part of the safeguarding process.

This policy mandates the Vetting checks and Disclosure and Barring Service (DBS) checks which Colchester Institute must complete when appointing staff. It also details the Single Central Record (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:

- Keeping Children Safe in Education Statutory Guidance (Department for Education)
- The Equalities Act 2010
- The Immigration Act 2016
- The Rehabilitation of Offenders Act 1974
- The Data Protection Act 2018

### **1.3 Policy changes in this version**

- Additional guidance section 4.1 clarifying who pays for DBS
- New section 4.9 offering further clarity on DBS Assessment

## **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.

In accordance with this policy, employees cannot unreasonably refuse to undertake a DBS check, complete an Annual Self Declaration, or provide any documentation reasonably required to allow the College to fulfil its legal responsibilities. 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**

For the purposes of this policy, and the Safer Recruitment Policy, we define Regulated Activity at Colchester Institute as **regular unsupervised contact with under 18s**.

As the majority of staff will be engaging, or have potential to be engaging, in regulated activity, an enhanced DBS check, which includes barred list information, will be required for all core staff appointments, and most other non-employee roles (see section 8)

For wider context a person is 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 Human Resources (HR) Team are responsible for checking 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**

Like all staff, Governors will be subject to an Enhanced DBS Check. Governors are volunteers and so the DBS check for them incurs no charge from the Disclosure and Barring Service. Governors also complete an Annual Self Declaration to keep information current.

### **2.4 Annual Self Declarations**

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.

### **2.5 Repeat Checks on Existing Staff**

There are limited circumstances where Colchester Institute may 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 Deputy Chief Executive.

### **2.6 Criminal Convictions Disclosure**

Any member of staff who is arrested, charged, receives a reprimand or is cautioned or convicted of an offence at any time during the course of their employment must notify the Deputy Chief Executive 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 arrest charge, 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 will be 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 Deputy Chief Executive 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 Deputy Chief Executive, 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 Safeguarding Lead.

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 Deputy Chief Executive

## **2.7 Risk Assessments**

Where an enhanced DBS has not been obtained prior to the start date, a Risk Assessment and a Barred List check are mandatory for core staff. This will also apply to non-employee roles in Regulated Activity. Appropriate supervision will be ensured as part of this risk assessment and the CLMG manager will ensure controls are maintained at all times. Human Resources will confirm when an acceptable DBS disclosure has been received and at that time the Risk Assessment requirement can cease. The Risk Assessment template Appendix A is attached to this policy.

## **2.8 Barred List Check using Teacher Regulation Agency**

For all teaching roles, the Human Resources team will check the Barred List through the Teacher Regulation Agency (TRA) 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 teaching roles, 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 can be found in the Safer Recruitment Policy.

## **2.9 DBS Update Service**

If they wish, 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.

## **2.10 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 Human Resources 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 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 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 the College reserves the right to suspend staff from duty.

## **4. Single Central Record (SCR)**

### **4.1 General Guidelines**

Colchester Institute is legally required to maintain a Single Central Record of staff providing education services 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 or certificate number
- 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 resting with the Deputy Chief Executive.

Non-employees can be categorised as follows:

- Agency workers
- Volunteers
- Self-employed workers
- Casual workers
- Other organisation workers including Contractors and Other Categories



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 ensure a barred list check is in place.

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 Human Resources to maintain an up-to-date SCR for non-employees. All College managers responsible for non-employees must ensure that Human Resources 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. Human Resources will provide a copy of the current SCR list to contract managers for checking monthly to ensure correct information is maintained.

The College requires Enhanced DBS check on all categories of staff. In the case of consulting or agency staff, it is the responsibility of the Company to produce their own Enhanced DBS evidence. These must be dated within the last three years.

In the case of Self-Employed individuals, if they do not possess their own Enhanced DBS dated within 3 years (many will if they are working regularly in Education settings), we can apply for the DBS but it will be chargeable via deduction from their invoice or direct invoice back to them. The College does not pay for Enhanced DBS checks for any staff category other than Governors or in exceptional cases at the discretion of College Executive.

#### **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 completing a Risk Assessment. However, a satisfactory Barred List check through TRA must be obtained.

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 SCR. Line managers should inform Human Resources when the agency worker has completed their period of work.

### **4.3 Self Employed and Casual Workers**

Prior to a worker commencing, the line manager must complete the vetting form (see Appendix I and F) in liaison with the Human Resources 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 Human Resources team before the individual commences work. Any DBS will need to be paid for by the 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 Human Resources who will add the details to the Single Central Record. Line managers must inform Human Resources when the worker finishes the assignment.

*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.*

### **4.4 Workers from other organisations**

There may be occasions when workers from other organisations attend Colchester Institute to provide support to one or more learners (e.g. End Point Assessors). The employing organisation is responsible for ensuring the appropriate DBS and 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 Human Resources 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 Human Resources team who will update the Single Central Record.

### **4.5 Contractors and Sub-Contractors**

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. Enhanced DBS Checks will be required, to be undertaken by the Contractor. The contractor is also responsible for ensuring that the same procedures are followed by any sub-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 Human Resources 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 changes and that they notify the Human Resources 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 an individual can start work prior to the receipt of a DBS subject to an approved Risk Assessment. However, the barred list must also be checked by Human Resources.

#### **4.6 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 Human Resources 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 Human Resources 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 Record if required. Line managers should inform HR when the volunteer finishes working for Colchester Institute.

#### **4.7 External Examiners (Higher Education) employed by University Partners**

External examiners are a central part of the Colleges Higher Education quality assurance processes, being appointed and employed by the validating organisation. The validating organisation will undertake robust pre-employment vetting checks, induction and training prior to appointing them to undertake their duties with subcontract partners. These duties are limited to reviewing work, feedback and liaison with programme teams. Most activities are delivered remotely but on occasion they may attend higher education adult student sessions in groups where they will be accompanied by a CI employee. The one-off visits are pre-arranged and the staff are treated as visitors. Therefore, the College considers that no further DBS arrangements are necessary, however, an annual UCC Risk Assessment form must be completed detailing the appropriate local controls that will be put in place to ensure on-site supervision.

#### **4.8 External Guest Speakers**

There will be occasions when course areas invite external guest speakers into the College to offer events/workshops/talks/information stalls for students. Where an external guest speaker is to be invited in the organising staff must follow the College's Freedom of Expression and External Speaker Protocol as well as this policy.

It is the duty of the member of staff organising the external guest speaker to ensure that all of the Colleges established visitor protocols are followed. Once it has been agreed by their Line Manager that an external guest speaker can be invited in (after following the College's Freedom of Expression and External Speaker Protocol) the organising staff member must ensure that:

1. the appropriate vetting paperwork is carried out in advance of the visit with HR (Appendix J) as part of the commitment to safeguarding
2. a visitor notification to the reception team is completed and sent
3. photo identification is checked on the day of the visit by the organising member of staff
4. the visitor/s are signed in at main reception
5. they are issued with a visitor badge on the day of their visit
6. That any risk assessment for external guest is adhered to.

The Vetting form should be completed depending on the activity being undertaken on the day and level of supervision. DBS clearance may not always be required (eg in such cases that the External guest speakers is being supervised by a Colchester institute staff member at all times).

#### **4.9 Other workers not covered above**

The decision on whether a DBS is required will rest with the Deputy Chief Executive. In most cases the need can be determined by understanding the duration, frequency and nature of the activity. It may be that some activities are covered under visitor procedures. Questions to help assess the level of risk to inform a decision will include:

1. *Is the person left unaccompanied for long periods whilst on site?*
2. *Does the person undertake activities without a staff member present?*
3. *Is the same person visiting site any more frequently than once per month?*
4. *Does the person have unaccompanied access to 16-19 year old students in common areas?*

#### **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
- PREVENT Duty
- Online Safety
- Responding to sexual violence and harassment

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 mandatory training could mean that the staff member's appointment is not confirmed during their probationary period. The College also reserves the right to take disciplinary action as appropriate and 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 advice and/or 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
- Safer Recruitment and Selection Policy/Procedure
- Self Employed and Casual Worker Procedures
- Volunteers and Work Experience Guidelines
- Data Protection Policy
- Health and Safety Policy
- Equity, Diversity and Inclusion Policy
- Staff Induction Policy
- Mandatory and Role Essential Training Policy

## 8. Safer Recruitment Checklist (Vetting)

This section provides confirmation of the documentation required to support Safer Recruitment within the different categories of the employed workforce.

\*This list is not exhaustive, college managers must ensure vetting is commensurate to the level of risk posed by external workers, taking due regard of the below checklist, and the duration, frequency and access to under 18 students. If unsure contact Human Resources.

	Core Staff (including part time hourly paid staff)	Non Core Staff		Workers from Other Organisations			
		Agency Staff	Self Employed Casual Staff Volunteers	Outsourced Onsite Contractor	Occasional Contractor (On-site >3 consecutive days)	External Examiners (Infrequent site visits in person)	*Other Categories
<i>Examples</i>	<i>Various roles</i>	<i>Teaching or ALS</i>	<i>Various roles</i>	<i>Refectory or Cleaning</i>	<i>Building Contractors</i>	<i>UCC Examiners</i>	<i>Eg EPA Assessors</i>
Vetting form completed by:	CI HR	Agency	CI HR	Contractor	Contractor	<i>UCC - IT Request Form</i>	<i>College Manager</i>
Right to work confirmation	X	X	X	X	X		
ID Checked	X	X	X	X	X	<i>UCC Annual Risk Assessment</i>	X
DBS Disclosure No. (within last 3 years)	X	X	X	X	X	X	X
Confirmation of suitability	X	X	X	X	X		X
Confirmation of awareness: Safeguarding leaflet		X	X	X	X		X
Barred Service online check completed	X	X	X	Not Regulated Activity	<i>Not Regulated Activity.</i>	<i>Not Regulated Activity.</i>	<i>Risk Assessment may be required.</i>
Prohibition Check (for teaching roles)	X	X	X				
Evidence of Qualifications	X	Agency			<i>Limited scope for regular contact with under 18's</i>	<i>One-off visits + no scope for regular contact u18's</i>	<i>Seek HR advice.</i>
References x2 (including most recent employer)	X	Agency					
Disclosure of criminal convictions form	X	X		X			
Annual Declaration criminal convictions form	X			X			
Annual KCSiE Declaration (DfE policy awareness)	X						

## 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?

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#### 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?

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**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 2 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 - Policy on Secure Handling of DBS Information**

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.

Colchester Institute is also committed to ensuring appropriate DBS channels are used 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

<b>Centre/Department</b>	
<b>Role</b>	

#### 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).*

<b>Yes</b>		<b>No</b>	
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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**

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

**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.	

<b>Signed</b>	
<b>Name</b>	
<b>Centre/Department</b>	
<b>Date</b>	

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](mailto:HR.Resourcing@Colchester.ac.uk)

Please email the completed Vetting Form to [HR.Resourcing@Colchester.ac.uk](mailto: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.

## Appendix E

### 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

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

#### 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)

<b>Yes</b>		<b>No</b>	
------------	--	-----------	--

#### Does the contractor have an opportunity for regular contact with children? i.e. moves freely around the Campus? \*\*

<b>Yes</b>		<b>No</b>	
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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?	<b>Yes</b>	
Has the identity of the individual has been checked?	<b>Yes</b>	

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

Does the Contractor hold a satisfactory <b>enhanced</b> DBS Disclosure which includes a check of the children's barred list?	<b>Yes</b>	
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?	<b>Yes</b>	
<b>Signed</b>		

<b>Name</b>	
<b>Date</b>	

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

Does the Contractor hold a satisfactory <b>standard</b> DBS Disclosure?	<b>Yes</b>	
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?	<b>Yes</b>	
<b>Signed</b>		
<b>Name</b>		
<b>Date</b>		

**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.**

<b>Photographic Identity Checked</b>	
<b>Signed</b>	
<b>Name</b>	
<b>Department</b>	
<b>Date</b>	

**Please forward the completed Contract Worker Vetting Form to [hr.resourcing@colchester.ac.uk](mailto: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.

<b>Date Barred Service Online check completed by HR.</b>	
--	--

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:**

<b>First Name:</b>		<b>Surname:</b>			
<b>Date of Birth:</b>		<b>Email address:</b>			
<b>Title of Job Role:</b>					
<b>Anticipated Working Pattern:</b>	<b>Mon</b>	<b>Tues</b>	<b>Wed</b>	<b>Thu</b>	<b>Fri</b>
<b>Pay Rate Agreed:</b>					
<b>Does the individual require:</b>	<b>Access onto Site</b>			<b>Yes / No</b>	
	<b>An IT account</b>			<b>Yes / No</b>	
	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			<b>From</b>	<b>To</b>

<p>Does the individual named above have the right to work 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><b>The original documents need to be verified by the Recruiting Manager and attached to this form.</b></p>	<b>Yes / No</b>
--	-----------------

**Disclosure and Barring Service (DBS):**

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

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

<b>Name of Recruiting Manager:</b>	
<b>Signed:</b>	
<b>Department:</b>	
<b>Cost Code:</b>	
<b>Date:</b>	
<b>CMG Manager Authorisation</b>	
<b>Name:</b>	
<b>Signed:</b>	
<b>Date:</b>	

## 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:

<b>Acceptable for the role</b>	Line Manager	HR
<b>Not acceptable for the role</b>	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](mailto: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:**

<b>First Name:</b>			
<b>Surname</b>			
<b>Date of Birth:</b>			
<b>Role:</b>			
<b>Name of Learner(s) being Supported:</b>			
<b>Course Title or Centre:</b>			
<b>Period of engagement</b>	Start date		End date
<b>Does the individual require access to a College IT account?</b>	<b>Yes</b>		<b>No</b>
<b>If an IT account is required, please specify the period of engagement for the account.</b> <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>	<b>From</b>		<b>To</b>
<b>Does the individual require an ID card?</b>	<b>Yes</b>		<b>No</b>
<b>Name of Contact/Manager at Colchester Institute</b>			

Does the individual named above have the right to work in the UK and does the Organisation have copies of the appropriate documentation?	<b>Yes</b>		<b>No</b>	
Has the identity of the individual been checked	<b>Yes</b>		<b>No</b>	
Does the Organisation hold a satisfactory enhanced DBS Disclosure?	<b>Yes</b>		<b>No</b>	
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?	<b>Yes</b>		<b>No</b>	

**Regulated Activity**

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

**To be completed by Organisation:**

<b>Signed:</b>	
<b>Print name:</b>	
<b>Name &amp; Address of Organisation:</b>	
<b>Contact telephone number:</b>	
<b>Date:</b>	

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](mailto: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:**

<b>First Name:</b>		<b>Surname:</b>	
<b>Date of Birth:</b>		<b>Email address:</b>	
<b>Title of Job Role:</b>			
<b>Brief description of support being undertaken:</b>			
<b>Does this role require:</b>	<b>Access onto Site</b>	<b>Yes / No</b>	
	<b>An IT Account</b>	<b>Yes / No</b>	
	<b>If an account is required, please specify the period of engagement.</b> <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>	<b>From</b>	<b>To</b>
Does the individual named above have the right to volunteer in the UK? <small>This would normally be a British Passport or a full British Birth Certificate plus documentary proof of National Insurance Number.</small> <b>(The original documents need to be verified by the Recruiting Manager and attached to this form)</b>			<b>Yes / No</b>

**Disclosure and Barring Service (DBS):**

Does the role involve Regulated Activity?	<b>Yes</b>	<b>No</b>
Is the individual registered with the DBS Update Service?	<b>Yes</b>	<b>No</b>
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?	<b>Yes</b>	<b>No</b>
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:**

<b>Recruiting Manager</b> 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.	

<b>Name of Recruiting Manager:</b>	
<b>Signed:</b>	
<b>Team:</b>	
<b>Department:</b>	
<b>Cost Code:</b>	
<b>Date:</b>	
<b>CLMG Manager Authorisation</b>	
<b>Name:</b>	
<b>Signed:</b>	
<b>Date:</b>	

**Declaration Form – Previous Convictions**

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

<b>Acceptable for the role</b>	Line Manager	HR
<b>Not acceptable for the role</b>	Line Manager	HR

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

<b>Documents</b>	<b>Please tick</b>
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](mailto:HR.Resourcing@Colchester.ac.uk)

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

<b>Official – HR Checklist and Sign off</b>	
<b>RTW Documents</b>	
<b>Barred List Online check</b>	
<b>DBS Reviewed</b>	

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:**

<b>First Name:</b>		<b>Surname:</b>			
<b>Date of Birth:</b>		<b>Email address:</b>			
<b>Title of Job Role:</b>					
<b>Anticipated Working Pattern:</b>	<b>Mon</b>	<b>Tues</b>	<b>Wed</b>	<b>Thu</b>	<b>Fri</b>
<b>Does the individual require:</b>	<b>Access onto Site</b>			<b>Yes / No</b>	
	<b>An IT account</b>			<b>Yes / No</b>	
	<b>If an IT account is required, please specify the period of engagement.</b> <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>			<b>From</b>	<b>To</b>

<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. <b>Original documents need to be verified by the Recruiting Manager and attached to this form.</b></p>	<b>Yes/No</b>
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**Disclosure and Barring Service (DBS):**

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

**Safeguarding and Data Protection:**

<b>Recruiting Manager</b> to confirm that the Self Employed Worker has received a copy of Colchester Institute's Safeguarding and Data Protection Leaflet?	
Please confirm the date that the information was provided:	

<b>Name of Recruiting Manager:</b>	
<b>Signed:</b>	
<b>Team:</b>	
<b>Department:</b>	
<b>Cost Code:</b>	
<b>Date:</b>	
<b>CMG Manager Authorisation</b>	
<b>Name:</b>	
<b>Signed:</b>	
<b>Date:</b>	

## 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:

<b>Acceptable for the role</b>	Line Manager	HR
<b>Not acceptable for the role</b>	Line Manager	HR

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

<b>Documents</b>	<b>Please tick</b>
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	

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

## APPENDIX J

### Colchester Institute – EXTERNAL GUEST SPEAKER VETTING FORM

This form must be completed where external guest speakers (not visitors) attend the College to provide either unaccompanied workshops, talk, stands to learners on the Campus or whose role provides regulated activity.

All external guest speakers **must hold** a satisfactory enhanced DBS Disclosure and have the right to work in the UK. If they do not have an enhanced DBS, a risk assessment must be completed in conjunction with HR.

<b>First Name:</b>				
<b>Surname</b>				
<b>Date of Birth:</b>				
<b>Job Role and Organisation</b>				
<b>Anticipated dates of engagement</b>	<b>Start date</b>		<b>End Date</b>	
<b>Will you need access to an IT account?</b>	<b>YES</b>		<b>NO</b>	
<b>Will you be bringing in a laptop and need access to a projector and screen? *</b>	<b>YES</b>		<b>NO</b>	
<b>*Is your laptop or device PAT tested?</b> <i>Please be aware all devices must be PAT tested</i>	<b>YES</b>		<b>NO</b>	
<b>Is there any other equipment or information that you need to give us?</b>				

<b>Do you have the right to work in the UK?</b>	<b>Yes</b>		<b>No</b>	
<b>Please provide a copy of a form of ID to prove right to work in the UK</b>				
<b>Do you hold a satisfactory enhanced DBS Disclosure?</b>	<b>Yes</b>		<b>No</b>	
<b>DBS Disclosure Number and date of issue</b>				
<b>Please either provide a copy of DBS or bring the original DBS when you visit or let us know if we can have access to the online DBS service</b>				

<b>Contact telephone number</b>	
<b>Date</b>	
<b>Print name</b>	
<b>Signed</b>	

**To be completed by the organising member of staff at Colchester Institute:**

Has the identity of the individual been checked	<b>Yes</b>		<b>No</b>	
Are you satisfied that the individual is suitable to provide a workshop, talk or stall at Colchester Institute?	<b>Yes</b>		<b>No</b>	
Name of responsible staff member				
Name of supervising staff member (must be supervised at all times whilst on Campus)				
Signed:				

**Once this form is completed by the external guest speaker and the organising staff member it must be sent to HR, with a risk assessment if this has been carried out (where there is no enhanced DBS present)**



## APPENDIX K

### Disclosure of Criminal Convictions

Under the Rehabilitation of Offenders Act 1974 and regulations issued by the Home Office the College has a duty to ensure that a police check for criminal convictions is undertaken for those offered an appointment that gives substantial access to children and vulnerable adults. Applicants for employment will be required to disclose spent convictions.

All roles at Colchester Institute are covered by the Act so you are required to disclose criminal convictions even those which are considered 'spent'. A criminal offence includes all convictions, cautions, reprimands, and warnings.

The amendments to the Exceptions Order 1975 (2013) provide that certain spent convictions and cautions are 'protected' and are not subject to disclosure to employers and cannot be taken into account.

Guidance and criteria on the filtering of these cautions and convictions can be found at the Disclosure and Barring Service website: [www.gov.uk/government/publications](http://www.gov.uk/government/publications)

**Please complete this form and return to the Human Resources Team.**

Have you ever been convicted of a criminal offence? Please tick the appropriate box.

YES*		NO	
------	--	----	--

\* If the answer is yes please give details below:

Name .....

Job Ref .....

Signed .....

Disclosure of a criminal offence does not necessarily mean that you will not be engaged, a person's suitability will be looked at in the light of all the information available. One of the main considerations will be whether the offence is one which would make the person unsuitable to work in a capacity which provides the opportunity for access to young people or vulnerable adults. To help with this you may be asked further questions. Any information you provide will be treated as strictly confidential and be considered only in relation to the specific engagement you have applied for.

*Under the terms of its registration with the Disclosure and Barring Service the College is bound by the Code of Practice, which gives guidance on all related issues.*

## APPENDIX L

### Disclosure of Criminal Convictions – Non Core Staff

Under the Rehabilitation of Offenders Act 1974 and regulations issued by the Home Office the College has a duty to ensure that a police check for criminal convictions is undertaken for those offered a role that gives substantial access to children and vulnerable adults. Applicants working on behalf of the College in Regulated Activity will be required to disclose spent convictions.

All roles at Colchester Institute are covered by the Act so you are required to disclose criminal convictions even those which are considered 'spent'. A criminal offence includes all convictions, cautions, reprimands, and warnings.

The amendments to the Exceptions Order 1975 (2013) provide that certain spent convictions and cautions are 'protected' and are not subject to disclosure to employers and cannot be taken into account.

Guidance and criteria on the filtering of these cautions and convictions can be found at the Disclosure and Barring Service website: <https://www.gov.uk/government/organisations/disclosure-and-barring-service>

**Please complete this form and return to the Human Resources Team.**

Have you ever been convicted of a criminal offence? Please tick the appropriate box.

YES*	<input type="checkbox"/>	NO	<input type="checkbox"/>
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\* If the answer is yes please give details below:

Name .....

Job Role.....

Signed .....

Disclosure of a criminal offence does not necessarily mean that you will not be engaged, a person's suitability will be looked at in the light of all the information available. One of the main considerations will be whether the offence is one which would make the person unsuitable to work in a capacity which provides the opportunity for access to young people or vulnerable adults. To help with this you may be asked further questions. Any information you provide will be treated strictly confidential and be considered only in relation to the specific engagement you have applied for. All information will be securely retained in accordance with the Record of Retention Policy supporting the Data Protection Policy.

*Under the terms of its registration with the Disclosure and Barring Service the College is bound by the Code of Practice, which gives guidance on all related issues.*

## APPENDIX M

### Workers from other organisations Annual Self Declaration Form – Criminal conviction disclosure since last DBS Check

Colleges have a legal responsibility to do whatever they can to stop dangerous people from gaining access to their students. This means thoroughly checking the suitability and backgrounds of all staff and making sure that any volunteers, contractors and visitors are also appropriately checked or supervised. The statutory guidance Keeping Children Safe in Education sets out safer recruitment principles to safeguard and promote the welfare of children under age 18 under Regulated Activity.

The Safer Recruitment Policy prescribes that all outsourced Onsite Contractors must disclose if they are arrested, convicted of a criminal offence, or issued with a police caution, reprimand, or warning since the date of their last DBS check.

Workers have a duty to truthfully and fully answer any questions from Colchester Institute in relation to any such matters. This means that you must disclose all criminal convictions, cautions, reprimands and final warnings even if 'spent' that are not 'protected', regardless of the date of the conviction, caution, reprimand or final warning ("your criminal record").

Colchester Institute are now requiring the completion of this self-declaration form to confirm that there have been no changes, since your last DBS Check.

Disclosure of a criminal offence does not necessarily mean that there will be consequences – a workers suitability will be looked at in the light of all the information available. One of the main considerations will be whether the offence is one which would make a worker unsuitable to work in a capacity which provides the opportunity for access to young people or vulnerable adults. To help with this you may be asked further questions. Any information you provide will be treated strictly confidential and be considered only in relation to the specific engagement you have applied for. All information will be securely retained in accordance with the Record of Retention Policy supporting the Data Protection Policy.

*In view of the nature of the work we carry out, the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, as amended, applies. The work we carry out is exempt from the Act.*

*This means that you must disclose any convictions, cautions, reprimands or final warnings that are not "protected" as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended).*

**Since your last DBS check, do you have any convictions, cautions, reprimands or final warnings that are not "protected", or have criminal convictions pending, that have not been previously disclosed to Colchester Institute?**

Yes  No

**If you answer 'Yes' please provide more information in the space below:**

#### **DECLARATION**

I declare that the information provided on this form is correct.

Name \_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_

## APPENDIX N

### Annual Risk Assessment – UCC External Examiners

Colleges have a legal responsibility to do whatever they can to stop dangerous people from gaining access to their students. This means thoroughly checking the suitability and backgrounds of all staff and making sure that any volunteers, contractors and visitors are also appropriately checked or supervised. The statutory guidance Keeping Children Safe in Education sets out safer recruitment principles to safeguard and promote the welfare of children under age 18 under Regulated Activity.

The Safer Recruitment Policy prescribes that for the category of staff: UCC External Examiners, due to the nature of the work (unregulated activity), the frequency and duration of campus visits, the nature of activity and segregation of UCC building from the remainder of the site, that normal DBS and other vetting requirements may not apply; subject to close adherence to the controls and protocols instigated in this annual risk assessment.

External examiners are a central part of UCC's quality control process. They are appointed and employed by validating organisations and visit the Colchester Campus on an infrequent basis each year to attend exam board meetings and undertake quality control processes.

This Risk Assessment shall be completed annually by the Dean of Higher Education who will ensure through his line management that:

1. all external examiners visiting site are aware of the controls and protocols in place including providing every examiner with a copy of the Safeguarding leaflet
2. all controls are followed at all times
3. all UCC staff are aware of the controls and shall enforce them at all times.

Failure to achieve the desired controls will result in a review of college policy relating to this category of staff. This shall be reviewed annually on review of the Safer Recruitment Policy.

***The below is to be completed and returned to the Deputy Chief Executive before 30 September each year.***

**Annual Risk Assessment – UCC External Examiners  
For Academic Year 2022-23**

<b>Name of Validating Partners and other awarding organisations likely to be sending staff to site within the period</b>	<i>University of East Anglia University of Essex</i>
<b>Pre-Requisite Staffing Checks</b>	<i>I confirm the above organisations have provided a level of assurance that normal pre-employment checks have been undertaken on external examiners including reference checks.</i>
<b>Frequency of visit by any one individual</b>	<i>To be limited to a maximum of 5 site visits per annum by any one examiner</i>
<b>Duration of visit</b>	<i>No visit to exceed three consecutive days unless written approval is received from the Deputy Chief Executive</i>
<b>Location of visit</b>	<i>UCC Centre only or escorted to other HE specific workshops on Colchester Campus by a member of UCC staff.  There shall be no interaction with Further Education students unless accompanied by a member of UCC staff.</i>
<b>Tasks to be undertaken whilst on site</b>	<i>Attend exam board meetings Review student work Feedback and liaison with programme teams Assess the quality of provision and student experience Participate in group discussions – UCC adult students only</i>
<b>IT Access</b>	<i>Permitted to allow for ongoing remote access to the ATS system only. This permits more remote activity, reducing the need for site visits.</i>
<b>Additional controls and protocols not listed above</b>	<i>Allocated and accompanied by a member of UCC staff when on campus.  All examiners to be provided with a copy of the Safeguarding leaflet.  No ID card required as physical visits are arranged with programme teams and treated like college visitors in all respects when on site</i>

I confirm that the above controls and protocols are in place for UCC External Examiners for the relevant academic year to ensure compliance with college policies and legal framework.

Risk Assessment signed : .....

Print name: .....

Date of signature: .....

## APPENDIX O

### **Annual Self Declaration Form – Criminal conviction disclosure since last DBS Check**

As stated in Colchester Institute's [Staff Code of Conduct](#) and its [Vetting Check Policy](#), during employment, all employees must disclose if they are arrested, convicted of a criminal offence, or issued with a police caution, reprimand, or warning.

Employees are under a duty to truthfully and fully answer any questions from Colchester Institute in relation to any such matters.

This means that you must disclose all criminal convictions, cautions, reprimands and final warnings even if 'spent' that are not 'protected', regardless of the date of the conviction, caution, reprimand or final warning ("your criminal record").

Colchester Institute are now requiring the completion of this self-declaration form to confirm that there have been no changes, since your last DBS Check. The requirement for this is as stated in the [Vetting Check Policy](#).

A failure to provide full and frank disclosure, including of any spent convictions, may result in disciplinary action being taken against you which could result in summary dismissal for gross misconduct. Where disclosures are made, they will be discussed with you as stated in the [Vetting Check Policy](#) with any actions taken as necessary in line with that policy and any associated policies.

*In view of the nature of the work we carry out, the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended in 2013), as amended, applies and your employment is exempt from the provisions of the Rehabilitation of Offenders Act 1974.*

*This means that you must disclose any convictions, cautions, reprimands or final warnings that are not "protected" as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended in 2013).*

**Since your last DBS check with Colchester Institute, do you have any convictions, cautions, reprimands or final warnings that are not "protected", or have criminal convictions pending, that have not been previously disclosed to Colchester Institute?**

Yes

No

**If you answer 'Yes' this will be discussed with you as stated in the [Vetting Check Policy](#) with any actions taken as necessary in line with that policy and any associated policies; you will be contacted by Human Resources.**

#### **DECLARATION**

I declare that the information provided on this form is correct.

Name \_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_

**This form must be completed by all employees.**

## APPENDIX P

### Colchester Institute – EXTERNAL EXAMINER FORM

This form must be completed where external examiners attend college sites to support business objectives.

All external examiners must comply with the UCC Annual Risk Assessment, and follow ILT Code of Conduct (both available on request).

A copy of the College's safeguarding leaflet will be provided.

<b>First Name:</b>				
<b>Surname</b>				
<b>Date of Birth:</b>				
<b>Job Role and Organisation</b>				
<b>Mobile contact number</b>				
<b>Anticipated dates of engagement</b>	<b>Start date</b>		<b>End Date</b>	
<b>Will you need access to an IT account?</b>	<b>YES</b>		<b>NO</b>	
<b>Will you be bringing in a laptop and need access to a projector and screen? *</b>	<b>YES</b>		<b>NO</b>	
<b>*Is your laptop or device PAT tested?</b> <small>Please be aware all devices must be PAT tested</small>	<b>YES</b>		<b>NO</b>	
<b>Is there any other equipment or information that you need to give us?</b>				
<b>Location(s) of work whilst on college campus</b>				

UCC Staff Member	
<b>Contact mobile telephone number</b>	
<b>Date</b>	
<b>Print name</b>	
<b>Signed</b>	