Appendix 4 - Risk Assessment Form (To be used in very exceptional circumstances only)

To be carried out and completed by Line Managers where an employee may, pending the outcome of this assessment, commence work prior to Disclosure and Barring Service (DBS) clearance being obtained.This is only applicable to posts where DBS clearance is required*.*

Definitions

* \*Children & Young People: this means under 18’s. Occasional contact such as with work experience students may not constitute contact with children.

|  |  |
| --- | --- |
| Position: |  |
| Hiring Manager / Line Manager: |  |
| Post title: |  |
| School / Department: |  |
| Will the role involve contact with children and young people?\* | Yes / No |
| Will the role involve contact with Vulnerable Adults?\*\* | Yes / No |

* \*\* Vulnerable Adults: this means a person who is age 18 year or over, in receipt of social, healthcare or other services, which puts a person in close contact with them.

|  |  |
| --- | --- |
| Applicant/Employee Name: |  |
| Reason for Request  Please provide clear and comprehensive details confirming why exceptional circumstances should be applied to the applicant/employee performing work without appropriate DBS clearance.  Current staff that move roles involving contact with and/ or supervision of Children, Young People and Vulnerable Adults will require a DBS check prior to taking up their new roles. |  |
| Risk Assessment  Has a risk assessment been undertaken? | Yes / No |
| Please provide details of risk evaluation undertaken, for example, no unsupervised contact with children/vulnerable adults, references seen, no previous unexplained gaps in work history or CV, previous clear disclosure seen including record of a DBS number (\*\*\*use the continuation space asrequired) |  |

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| \*\*\* Risk Assessment undertaken (continuation sheet) |

Declarations

Line Manager

|  |  |
| --- | --- |
| Signed: |  |
| Print name: |  |
| Position: |  |
| Date: |  |

As the Hiring Manager / Line Manager, I believe that any further delay in this individual undertaking necessary job duties will have a serious impact on the School / Department’s ability to carry out its designated role. I understand the significance of the individual performing work prior to full disclosure being received in the context of the requirements of the [University's Safeguarding Policy and Procedures.](http://www.uwl.ac.uk/sites/default/files/Departments/About-us/Web/PDF/policies/safeguarding_children_updated_may16_final.pdf) I take ownership of accountability under these circumstances in ensuring that the individual is supervised when undertaking work involving children or vulnerable adults.

HR use only

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| --- | --- |
| Required to DBS: | Enhanced / Standard |
| Date sent: |  |
| Date received: |  |
| Employee cleared to continue employment: | Yes / No |

Additional information

Further information can be found on The Department for Education published document “Keeping children safe in education - Statutory guidance for schools and colleges July 2015” can be viewed on the following link: ["Keeping children safe in education"](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/550511/Keeping_children_safe_in_education.pdf)

Additional information for Managers

There should be a number of safeguards to protect the University and students:

* A clear business case for the appointee to start prior to DBS certificate being completed given the possible safeguarding risks;
* Check with HR to ensure there should be no unexplained gaps in the employment history or CV of the individuals concerned;
* That no relevant criminal convictions have been declared by the individual;
* Check with HR to ensure we have received all necessary references to our satisfaction;
* Check with HR to ensure verification that that person is who they say they are and that appropriate checks have been made on identity with photographic evidence i.e. passport and birth certificate checks (in case there is a name change by deed poll – convictions will not show on the DBS check under a new name). Right To Work (RTW) check may cover this, speak to the relevant Human Resources Partner for additional information;
* Check with HR to ensure satisfactory qualifications check have been made (relevant to the job) – this would form part of the recruitment process already;
* There should be NO unsupervised 1:1 contact with students under 18 or vulnerable adults until the DBS has been cleared - the hiring manager/line manager will need to undertake to ensure that this is the case.

The Risk Assessment should be emailed to the Director of Human Resource once the Hiring Manager / Line Manager has fully weighed up operational need for the resource with Safeguarding risks and how these can be managed. The relevant Human Resources Partner or Human Resources Co-ordinator will liaise with the recruiting manager/line manager thereafter.