



**Buckinghamshire
Council**

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Single Central Record using SIMS

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Working In partnership with



Private Funds Manager
From ISTEK UK LIMITED





Single Central Record using SIMS

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Introduction

This guidance has been produced to assist Headteachers, Governing Bodies and staff in schools who have responsibility for maintaining a Single Central Record in SIMS. It is not comprehensive and should always be read in conjunction with the **latest** DfE guidance 'Keeping Children Safe in Education' (KCSiE) and guidance issued on the **HR Zone** on **SchoolsWeb** for up to date information regarding **Safeguarding in Employment** and **Proof of Right to Work**.

<https://schoolsweb.buckscc.gov.uk/hr-zone/dbs-and-safeguarding-in-employment/single-central-record/single-central-record-guidance-for-schools/>

DfE - Keeping Children Safe in Education (KCSiE)

<https://www.gov.uk/government/publications/keeping-children-safe-in-education--2>

KCSiE state: Schools and colleges must maintain a single central record of pre-appointment checks, referred to in the Regulations as the register and more commonly known as the **Single Central Record**.

Single Central Record Checks

KCSiE state: The single central record **must** indicate whether the following checks have been carried out or certificates obtained, and the date on which each check was completed or certificate obtained:

- an identity check (identification checking guidelines can be found on the GOV.UK website).
- a barred list check.
- an enhanced DBS check requested / certificate provided.
- a prohibition from teaching check.
- further checks on people who have lived or worked outside the UK
- a check of professional qualifications, where required; and
- a check to establish the person's right to work in the United Kingdom.

In addition:

- independent schools (including academies and free schools) **must** record details of the Section 128 checks undertaken for those in management positions.

Non statutory information

Schools and colleges are free to record any other information they deem relevant. For example:

- whether relevant staff have been informed of their duty to disclose relevant information under the childcare disqualification arrangements.
- checks made on Governors.
- checks made on Volunteers.
- dates on which safeguarding and safer recruitment training was undertaken; and
- the name of the person who carried out each check.

Who should be included on the Single Central Record

- All staff employed by the school – eg. teachers, teaching assistants, cleaners, admin staff etc.
- Trainee teachers on salaried routes.
- Supply teachers / casual workers – either employed through the school or through an agency.
- All those in regular contact with children including volunteers.
- All Governors.
- Contractors who visit the school frequently** or intensively**



- All people brought into school to provide additional teaching / training / instruction eg. sports coaches, music teachers

**** Definition of frequent and intensive:**

- Frequently is defined as once a week or more often
- Intensively is defined as four or more times in a month or overnight

All the above should be included in the same record: separate SCRs should not be held for different categories of employees/volunteers. Leavers however can be moved to a separate 'archive SCR' on an optional basis.

All fields on the SCR must be completed. Where information is not relevant to the individual/role, this should be indicated as 'N/A' eg. qualifications for a Midday Supervisor. All information inserted in each field/column should be consistent.

Each school needs to keep a SCR in place at all times, but it does not need to be a 'physical' record ie. it could be an electronic record. Buckinghamshire Council HR have advised it is acceptable to hold the SCR electronically provided a printed copy is available for inspection.

Volunteers

Volunteers who are wholly supervised and who do not work frequently ie. more than 3 times a month with children, do not need to be added to the SCR eg. a parent accompanying children on a school visit.

Volunteers who are unsupervised and work frequently or intensively and are therefore working in Regulated Activity must have an Enhanced DBS Check with a Children's Barred List Check in place and must be added to the SCR in the same way as other members of staff.

For volunteers **not** engaged in "regulated activity" a written risk assessment should be undertaken to determine whether an Enhanced DBS Check (excluding a Barred List Check) should be obtained. The completed Risk Assessment should be kept in the school's local personnel records.

Schools may consider whether to list the role of a volunteer as a "supervised" or "unsupervised" volunteer.

Multi-Academy Trusts (MATs)

MATs must maintain a Single Central Record detailing checks carried out in each academy within a MAT. There is not a requirement for MATs to have separate SCRs for each academy. However, the information should be recorded in such a way that allows for details for each individual academy to be provided separately and without delay to those entitled to inspect that information.

Confidentiality

A school's Single Central Record should be kept securely on a confidential basis with access limited solely to those staff and Governors who need to have access.

SchoolsWeb

It is recommended schools should check the HR Zone regularly for updated guidance.

ICT Schools Team Support

The ICT Schools Team only support the Single Central Record reports in SIMS with a User Defined Field of SCR (ie. tick box option). It is the easiest and most efficient way to ensure all relevant personnel records appear in the report for Ofsted as it does not use employment or contract dates information to extract staff.

If you are using any (old) non tick reports versions, these will continue to work, however, they will not be updated and depending on the version, it may not include all the relevant checks.

If your School has a Bespoke SCR Report, please contact the ICT Schools Team for advice.

Chapter 1 Create a 'SCR' User Defined Field Tick Option Box

Introduction

Creating a **User Defined Field** of **SCR**, is the easiest and most efficient way to ensure all relevant personnel records appear in the report for Ofsted as it does not use employment or contract dates information to extract staff. By ticking the SCR box, staff are either on or off the SCR register.

Create a "SCR" User Defined Field Tick Option Box

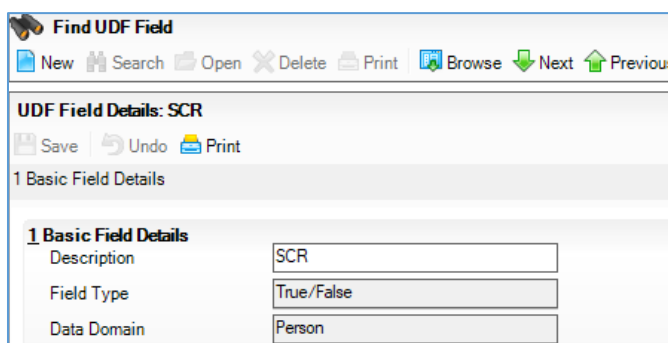
1. Select **Tools | Setups | User Defined Fields** to open the **Find UDF Field** browse.

2. Click **New** to open the **UDF Details** screen.

3. **Description** enter **SCR**.

4. **Field Type** select **True/False** from the drop down list.

5. **Data Domain** select **Person** from the drop down list. (This offers a range of areas where the field can be placed).



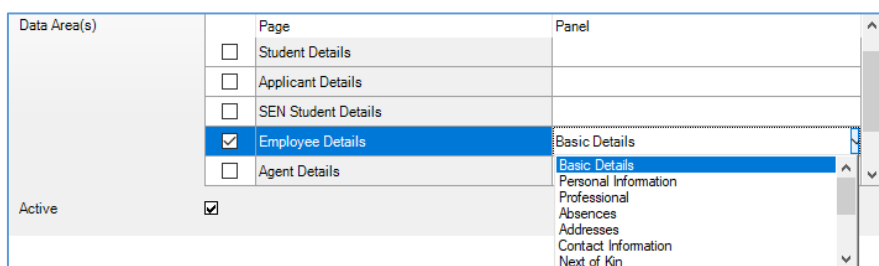
6. In the **Data Area(s)** page tick **Employee Details**.

7. Click in the **Panel** column.

8. Select **Basic Details** from the drop down list.

9. Click **Save**.

10. **Close** and **reopen** SIMS to active the new UDF for Reporting.

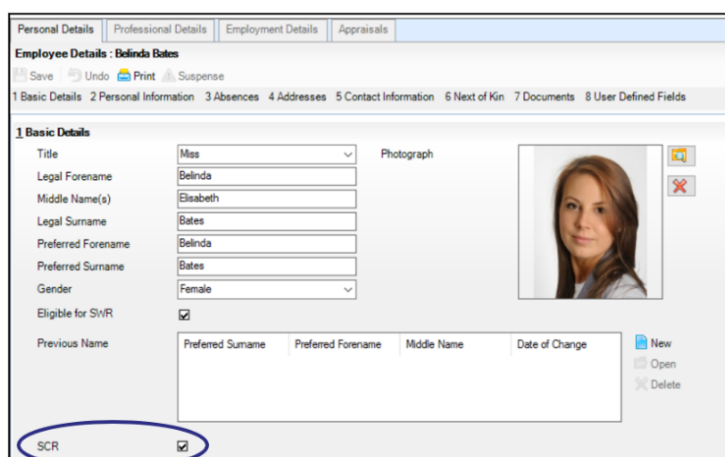


Add and Remove Personnel from the SCR Register

1. Open a **Personnel** record. **Panel 1: Basic Details** to locate the **SCR** user defined field.

✓ Tick **SCR** box for Personnel to be **included** in the SCR.

Remove tick for Personnel to be **excluded** from SCR.





Chapter 2 SIMS SCR Reports Available and Deleting Old Reports

Introduction

The ICT Schools Team have produced 4 reports and 1 letter to assist with the management of the Single Central Record and they are available to download and import from the ICT Zone on SchoolsWeb. Chapter 8 shows an example of the SCR layout for a member of staff.

SCR-SIMS OFSTED 09-23 w.Role/SvcTerm Report

Designed with Ofsted requirements and compiled by SIMS from recommendations from the HR Safeguarding team to create a single row entry for all staff, volunteers and Governors.

All personnel records must have the **User Defined Field** of **SCR ✓** ticked to be included as part of the Single Central Record and then run the **SCR-SIMS OFSTED 09-23 w.Role/SvcTerm** report. The report contains:

Personnel: Name, address, date of birth, employment start date, teacher number (if applicable), role, role start date, service agreement start date and service agreement reason.

Checks: Checks, Level, Clearance Date, Document Number, Checked by and Notes.

Important Notes: Due to the complex filters within the .RTF report in SIMS:

- Staff with a **fixed term contract end date** entered in SIMS, their role will not show in the SCR report. This will have to be entered manually onto the Word document.
- Any **Checks** with an **expiry date**, will not show on the report as not applicable.

SCR-SIMS Ofsted v14 Tick Option Report

In January 2021, the ICT Schools Team released the **SCR-SIMS Ofsted v14 Tick Option** report and this is still current. This report gives details of the person's employment start date and role as well as all the other checks. HR have updated their guidance following the KCSiE statutory policy and advised the start date and role can be recorded but it isn't mandatory.

Additional Single Central Record Reports

SCR CRB Due to Expire V3:

Allowing a more proactive approach to managing Employment vetting data, this report will search DBS Checks which are due to expire.

SCR Letter of Assurance (BC)

A mail merge letter that can be sent out with any staff members who visit other schools and includes key vetting information such as DBS details etc.

SCR Right to Work Due to Expire V3:

Allowing a more proactive approach to managing Employment vetting data, this report will search Right to Work Checks which are due to expire.

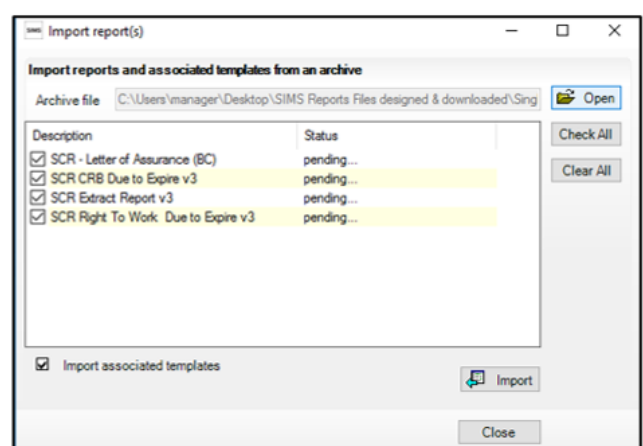
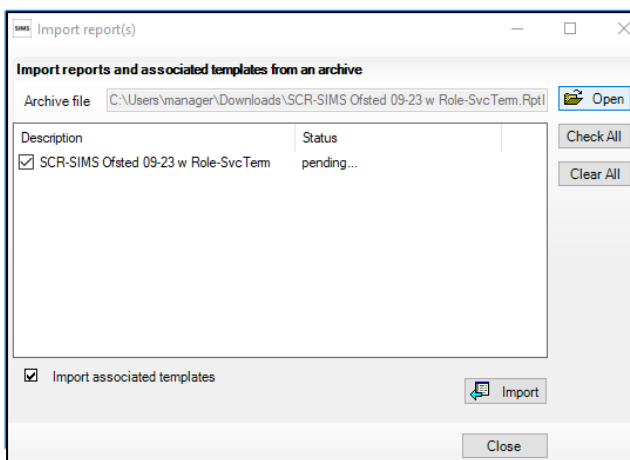
SCR Extract Report V3

Allowing all data to be extracted into Excel spreadsheet format, permitting sorting, searching and filtering to be performed outside of SIMS.

Downloading and Importing the SCR Reports from the ICT Zone on SchoolsWeb:

<https://schoolsweb.buckscc.gov.uk/ict-zone/schools-mis-team/sims-downloads/>

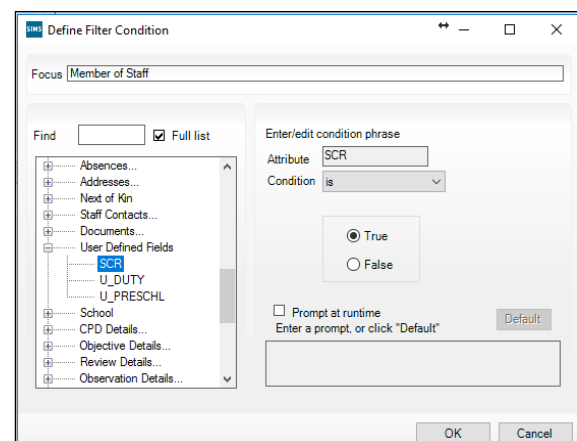
1. **SchoolsWeb | ICT Zone | SIMS | SIMS Downloads | Single Central Record**
2. **Download** and **Save** the latest SCR report.
3. Highlight the report, right click and select “extract all” to unzip the file. Save.
4. Go to: **Reports | Import.**
5. Navigate to location of saved reports.
6. Click **Import.**
7. Once the reports have imported, the status will change from pending to imported.
8. Click **Close**



Amend the SCR Report to Include the SCR (User Defined Field) Tick Option

1. Go to **Reports | Design a Report**
2. Select ‘**Open an existing report**’ and locate the **SCR-SIMS OFSTED 09-23 w.Role/SvcTerm** report and open the report.
3. Navigate to the **Select Filter** page,
4. Click on **New** and locate **User Defined Fields** on the left hand side.
5. Select **SCR**. Condition is **True**.
6. Save Report as:

SCR-SIMS OFSTED 09-23 w.Role/SvcTerm v2



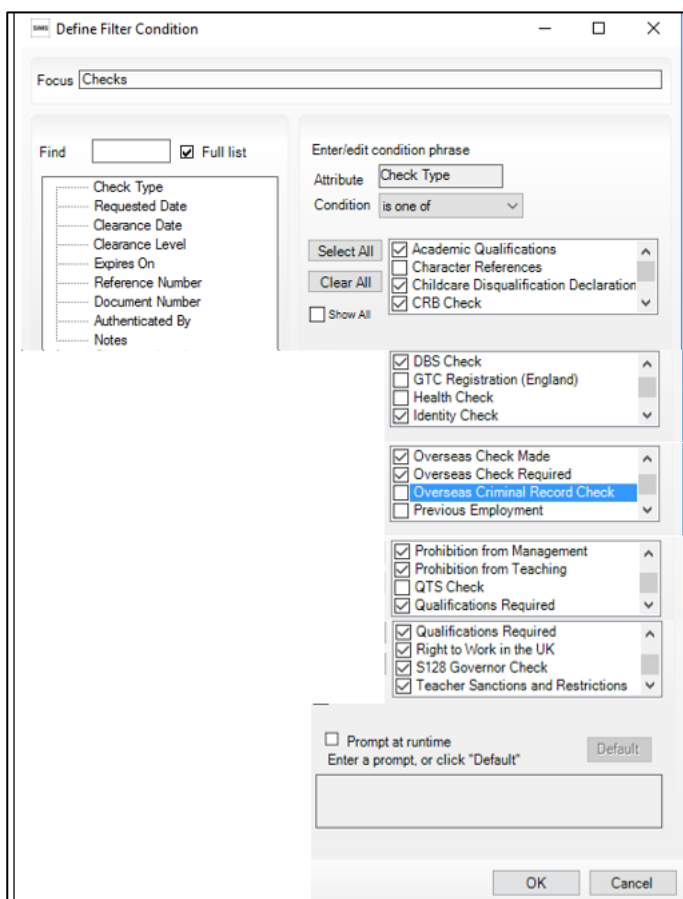
- Every time a new SCR report is imported, the UDF of SCR (is True) will need to be added into the filter conditions.
- The **SCR-SIMS OFSTED 09-23 w.Role/SvcTerm v2**, will now run successfully and report on Personnel records with the SCR box ticked ✓ only.

Resolve any Missing 'Check Type is One of'

Latest SIMS Upgrades may de-activate some user defined checks, including S128 Direction Check or Childcare Disqualification Declaration. Unfortunately, this common when a report is imported into SIMS, some of the Check Types do not appear in the report.

To resolve this issue go to:

1. **Reports | Design a Report**
2. Select '**Open an existing report**' and select the **SCR-SIMS OFSTED 09-23 w.Role/SvcTerm v2** report and open the report.
3. Navigate to the **Data Fields**.
4. Highlight the blue sub filter box **Checks Filtered**.
5. Go to the **Related** screen. Highlight where **Check Type is one of** and select **Modify**.
6. Ensure all the relevant boxes are ticked. Select **OK**.
7. Save the Report as: **SCR-SIMS OFSTED 09-23 w.Role/SvcTerm v2**



The description of the checks as shown above may differ in your School when they were set up. Ensure the checks for the **SCR-SIMS OFSTED 09-23 w.Role/SvcTerm** relate to the **SIMS Check Codes (Chapter 5)**.

Old SCR Reports

1. SCR OFSTED All Current Personnel Report

2. SCR DBS Expiry Dates Check Report

This has been replaced by the CRB/DBS Due to Expire Report.

3. SCR Right to Work Expiry Dates Check Report

This has been replaced by the Right to Work Due to Expire Report.

4. Ofsted SCR Report (CES Reporting Services)

5. Extended SCR Extended Single Central Record

6. Multiple Single Central Record (CES Reporting Services)

7. SCR Sports Leader Mail Merge Letter v2

This has been replaced with SCR Letter confirming SCR Checks

8. ALL other V2 reports (ie. SCR Extract Report v2)

9. SIMS-SCR OFSTED V1 to V13

It is recommended that all of these reports are deleted, as described below before importing the replacement reports.

If you cannot see these reports, then proceed to the next chapter.

Delete Old SCR Reports:

1. Go to **Reports | Design Reports**
2. **Open an existing Report**
3. Open + **Focus | Staff**
4. Right click on the report you wish to delete
5. Select **Delete**
6. Confirm deletion

Name	Focus	Owner
ADP-Staff Memo (Logon Name & Password)	Staff	Imported
ADP-Staff User Account List	Staff	Imported
Data Cleanse - Staff Add to be validated	Staff	Gillian Grosv
Extended Single Central record	Staff	Imported
ISI Central Register	Staff	Imported
LSA Training	Staff	Imported
Multiple Single Central Record	Staff	Imported
OFSTED SCR	Staff	Imported
OFSTED Single Central Reco	Staff	Imported
OFSTED Single Central Reco	Staff	Gillian Grosv
SCR (OFSTED) 2012	Staff	Gillian Grosv
SCR CRB Due to Expire	Staff	Imported
SCR Extended Single Central	Staff	Imported
SCR Extract Report	Staff	Imported
SCR- Ofsted	Staff	Gillian Grosv

Chapter 3 Create New Checks and Clearance Level Checks Lookups

Introduction

There are a large number of lookups already defined within SIMS. These have predominantly been specified by the DfE and ESS (Education Software Solutions). These lookups are presented to the user as a list of options when selecting from the various drop-down lists throughout the application.

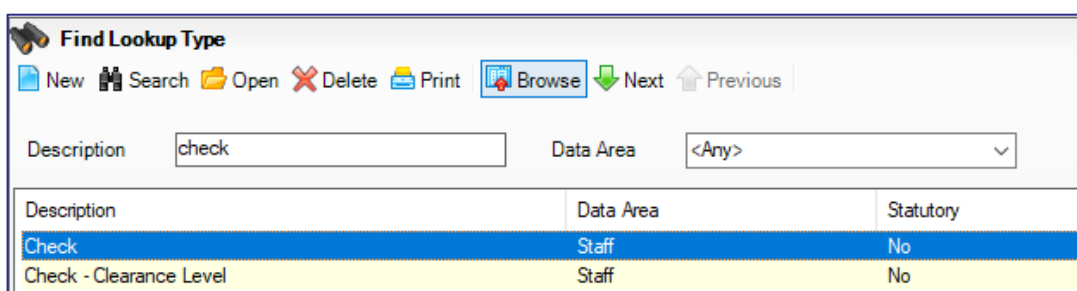
Lookups defined by the DfE or specified by ESS cannot be edited. A range of other lookups within SIMS can be edited.

If you do not have a **S128 Direction check** and/or **Childcare Disqualification Declaration check** available to select, see below for instructions to create one:

Create a new Childcare Disqualification Declaration Check

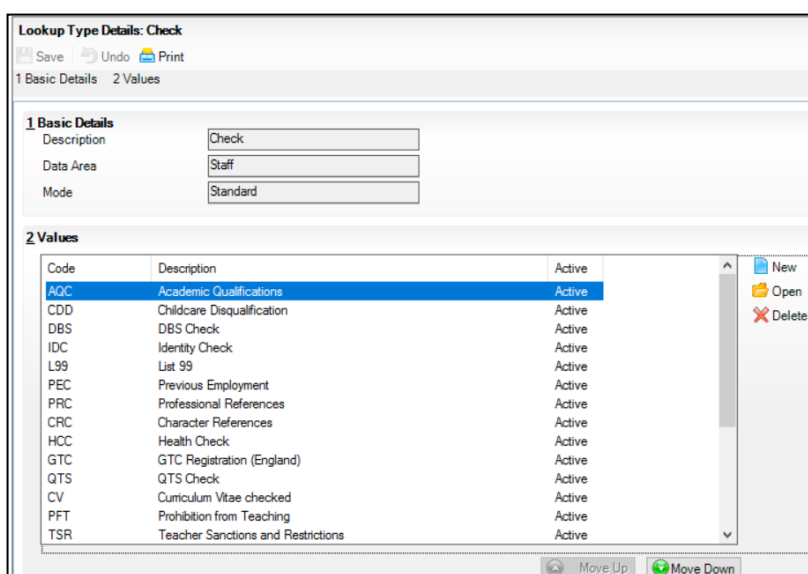
It is possible to create new Check which can be used to record the Childcare Disqualification Declaration and Section 128 checks for use on a Personnel record.

1. Select **Tools | Lookups | Maintain** to display the **Find Lookup** browser.
2. Type **check** in Description and select Data Area ▼ **Staff**
3. Click **Search** to display a list of existing **Lookup Types** that match the search criteria



Description	Data Area	Statutory
Check	Staff	No
Check - Clearance Level	Staff	No

4. Highlight and double click **Check**. Go to **Panel 2: Values**, select **New**.



Lookup Type Details: Check

Save Undo Print

1 Basic Details 2 Values

1 Basic Details

Description: Check

Data Area: Staff

Mode: Standard

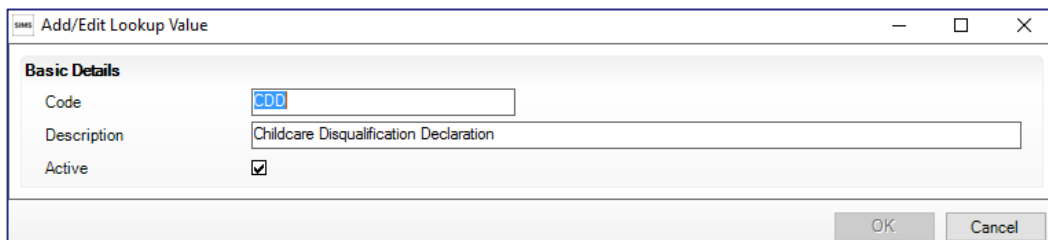
2 Values

Code	Description	Active
AQC	Academic Qualifications	Active
CDD	Childcare Disqualification	Active
DBS	DBS Check	Active
IDC	Identity Check	Active
L99	List 99	Active
PEC	Previous Employment	Active
PRC	Professional References	Active
CRC	Character References	Active
HOC	Health Check	Active
GTC	GTC Registration (England)	Active
QTS	QTS Check	Active
CV	Curriculum Vitae checked	Active
PFT	Prohibition from Teaching	Active
TSR	Teacher Sanctions and Restrictions	Active

New Open Delete

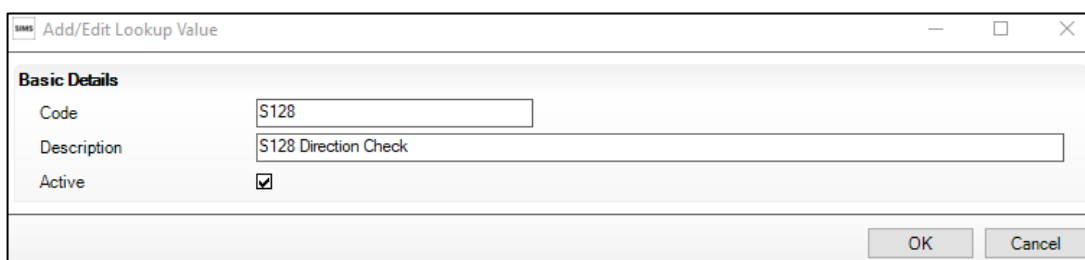
Move Up Move Down

5. Enter code **CDD**. Description **Childcare Disqualification Declaration**. Ensure **Active** is ticked. **OK**.

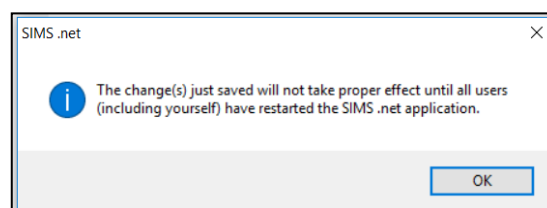


Create a new Section 128 Direction Check

6. Click **New**. Add code **S128**. Description **Section 128 Direction Check**. Ensure **Active** is ticked. **OK**.



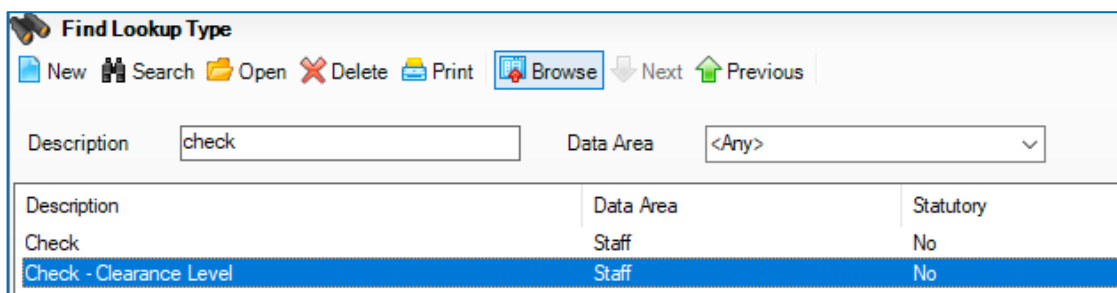
7. **Save** the record and click on **OK** to the warning message telling you to restart SIMS.net
8. **Close SIMS** and **Re-open** to enable changes to take effect.



Create New Check Clearance Levels

It is possible to create new **Check - Clearance Levels** which can be used to record responses of **Yes, No, N/A, Agency Confirmed** and other required clearance levels.

1. Select **Tools | Lookups | Maintain** to display the **Find Lookup** browser.
2. Type **check** in Description and select Data Area ▼ **Staff**
3. Click **Search** to display a list of existing **Lookup Types** that match the search criteria.
4. Highlight and double click **Check – Clearance Level**.



Description	Data Area	Statutory
Check	Staff	No
Check - Clearance Level	Staff	No

Lookup Type Details: Check - Clearance Level

Save Undo Print

1 Basic Details 2 Values

1 Basic Details

Description: Check - Clearance Level

Data Area: Staff

Mode: Standard

2 Values

Code	Description	Active
YES	Yes	Active
NO	No	Active
NA	N/A	Active
AGC	Agency Confirmed	Active
PASS	Satisfactory	Active
DBSB	Basic Clearance	Active
DBSS	Standard Clearance	Active
DBSE	Enhanced Clearance	Active
DBSW	Enhanced Clearance with List Checks	Active
DBAC	Enhanced List with Children's & Adult's Barred List Check	Active
DBADU	Enhanced List with Adult's Barred List Check	Active
DBSEC	Enhanced List with Children's Barred List Check	Active
L99C	List 99 Cleared	Active
L99B	Barred from Teaching	Active

New Open Delete

Move Up Move Down

5. In **Panel 2**, click on **New** alongside existing look ups.

Add/Edit Lookup Value

Basic Details

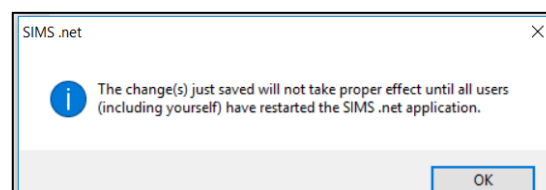
Code: Yes

Description: Yes

Active: ☒

OK Cancel

6. Add the code **Yes** and description **Yes**. Ensure **Active** is ticked. Click **OK**.
- Repeat for any missing codes or clearance checks** eg. No, N/A, Agency Confirmed etc.
7. **Save** the record and click on **OK** to the warning message telling you to restart SIMS.net



Depending on the school setting, it may be useful to add a new clearance level check for:

Enhanced List with Children's Barred List and/or **Enhanced List with Adult's Barred List**

8. In **Panel 2**, click on **New** alongside existing look ups.
9. Add details (example below). Select **OK** and **Save**.

Add/Edit Lookup Value

Basic Details

Code: DBSEC

Description: Enhanced List with Children's Barred List Check

Active: ☒

OK Cancel

9. **Close SIMS** and **Re-open** to enable changes to take effect.

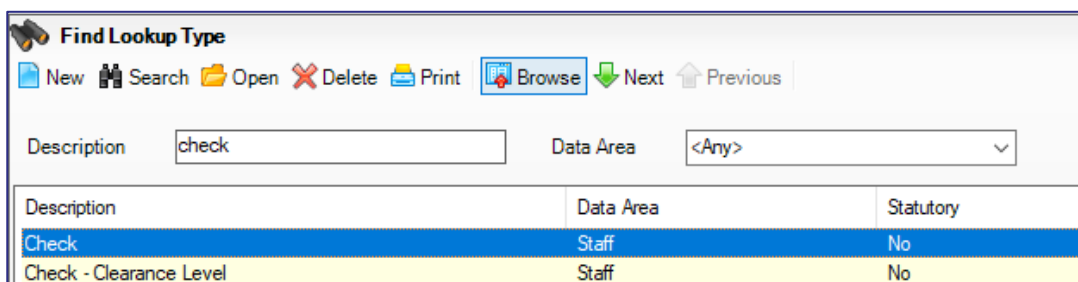
SIMS Look Ups | SCR Check Types Still 'Active'

There are a large number of lookups already defined within SIMS. These have predominantly been specified by the DfE and ESS. These lookups are presented to the user as a list of options when selecting from the various drop-down lists throughout the application.

Latest SIMS Upgrades may de-activate CRB and possibly removed any user defined checks, ie. S128 Direction Check or Childcare Disqualification Declaration.

To check that CRB and other checks are still active:

1. Select **Tools | Lookups | Maintain** to display the **Find Lookup** browser.
2. Enter the description **Check**. Data Area **<STAFF>**

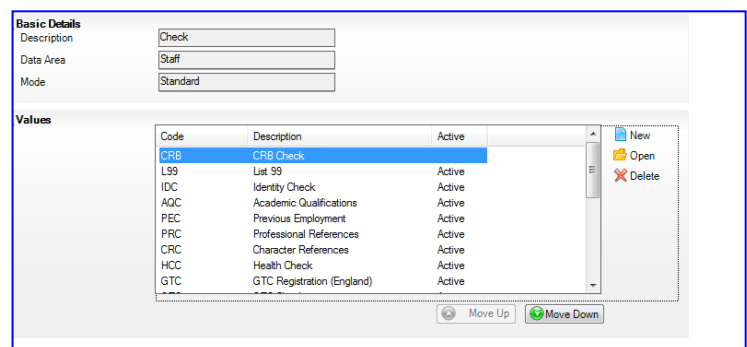


The 'Find Lookup Type' dialog box shows search criteria: Description 'check' and Data Area '<Any>'. Below is a table of results:

Description	Data Area	Statutory
Check	Staff	No
Check - Clearance Level	Staff	No

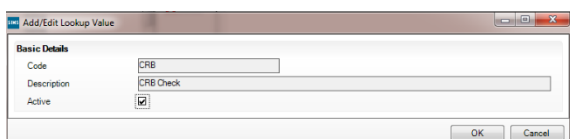
Click the **Search** button to display a list of existing **Lookup Types** that match the search criteria. Open the **CHECK** look up.

3. Check the CRB Value
4. If Active is not shown highlight and click on OPEN
5. Tick ✓ the **Active** box
6. OK



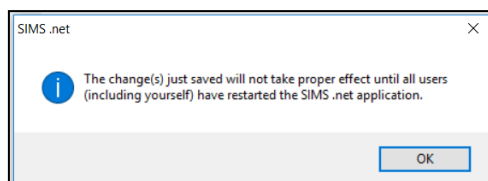
The 'Basic Details' dialog box shows the 'Check' lookup type. The 'Values' list includes:

Code	Description	Active
CRB	CRB Check	Active
L99	List 99	Active
IDC	Identity Check	Active
AGC	Academic Qualifications	Active
PEC	Previous Employment	Active
PRC	Professional References	Active
CRC	Character References	Active
HCC	Health Check	Active
GTC	GTC Registration (England)	Active

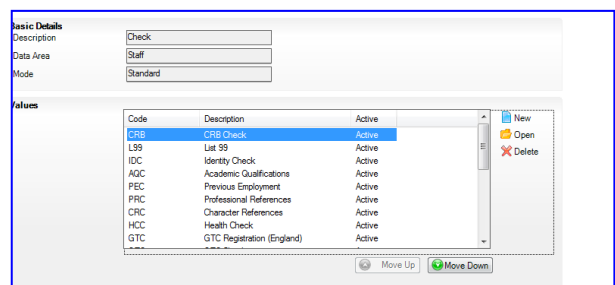


The 'Add/Edit Lookup Value' dialog box shows the 'CRB' code and 'CRB Check' description. The 'Active' checkbox is checked.

7. **Save** the record and click on **OK** to the warning message.



A warning message from SIMS .net: "The change(s) just saved will not take proper effect until all users (including yourself) have restarted the SIMS .net application." with an OK button.



The 'Basic Details' dialog box shows the 'Check' lookup type. The 'Values' list includes:

Code	Description	Active
CRB	CRB Check	Active
L99	List 99	Active
IDC	Identity Check	Active
AGC	Academic Qualifications	Active
PEC	Previous Employment	Active
PRC	Professional References	Active
CRC	Character References	Active
HCC	Health Check	Active
GTC	GTC Registration (England)	Active

Scroll through the list of Values for CDD (Childcare Disqualification Declaration) or S128 Direction Check. If any Values / Checks are missing, these will need to be recreated (refer to page 13).

Chapter 4 Create a Personnel Record

Introduction

A personnel record will need to be created so checks can be entered for Single Central Record purposes.

Create a New Staff Personnel record

To enter employment vetting information in SIMS select **Focus | Person | Staff** to access SIMS Personnel.

1. Select **New** to display the **Add Employee** screen.
2. Enter **Surname** and **Forename** or **Initial**
3. Click **Continue**

This will display any matched people already existing in the database. If the person's name is displayed and it's the correct one, **Highlight** the person and then click **Open**. If the name is not displayed, click on **New** to create a New Personnel record.

The following minimum information is required to be recorded into the SIMS database for staff with relation to the **Single Central Record**:

Data field	Panel where Personnel area to be found
Name	1. Basic Details
Date of Birth	2. Personal information
Qualifications and verified (if applicable)	3. Professional – qualifications window
Address	5. Addresses
Teacher number assigned by GTC (if applicable)	8. Employment Details
Employment Start Date (if applicable)	8. Employment Details
Checks	8. Employment Details Checks area

Create a Non-Staff Personnel Record (Volunteer or Governor)

Where a **Volunteer or Governor** is a **parent or a contact** for a child at the school and details are already listed in SIMS, it is possible to use this contact information already held in SIMS to create the Personnel Record.

To capture contact information:

From **Focus | Person | Staff** click **New**

This will display the **Add Employee** screen as shown:

Add Employee

Basic Details

Surname: Matthews Forename: M

Gender: Date of Birth:

Matched People

The following people known to the SIMS database have similar details.
To add a new Employee with the details entered above, select New.
To add an existing person or edit a known Employee, select Open.

Full name	Gender	Roles	Address	
Matthews, Miss Megan	Female	Contact	37, Priestgate, Peterboroug...	New Open

1. Enter **Surname** and **Forename** or **Initial**
2. Click **Continue**
3. This will display any matched people already existing in the database. If the person's name is displayed and it's the correct one, **Highlight** the person and then click **Open**.
4. Select **New** where a **Volunteer** or **Governor** is **NOT** a **parent** or a **contact** of a child at the school and there is no other matching records in SIMS.
5. The following information needs to be entered for a **Volunteer** or **Governor** record:
 - **Date of Birth**
 - **Preferred Forename**
 - **Address**
6. Click **Save**
7. For a **Volunteer**, **Governor** or **Supply** you **must** add a **Service Agreement**.
8. Enter **Service Start Date**, **Service End Date** (if known), **SWC Reason**, **SWC Post** (eg. **Support Staff**) and the **Role** as **'Do not include in Statutory Returns'**
9. Enter the checks as required.

Add New Service Agreement for Belinda Bates

Save Undo Help Close

1 Service Agreement Details

1 Service Agreement Details

Service Start Date: 01/09/2021 Service End Date:

Offered Date: Accepted Date:

QTS Status: SWC Post: Other Support Staff

Reason: School Governor Source Name:

Sourced By: Supply Volunteer Service Type: School Governor

FTE Hours/Week: Agreement Hours/Week:

Weeks/Year: Daily Rate: ☒

Total Pay (annual equivalent): SWC Additional Payment Amount:

SWC Base Pay (annual equivalent):

Latest Pay Review Date:

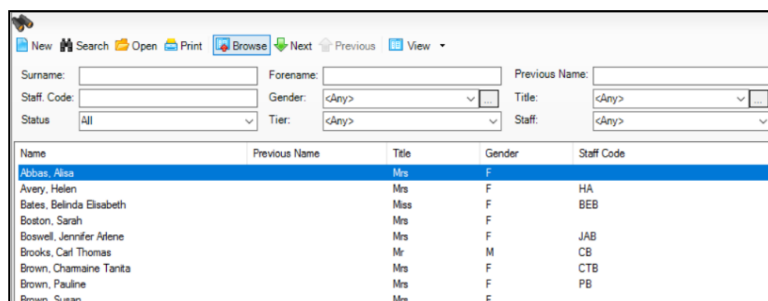
Role:

Role	Start Date	End Date
Do not include in Statutory Returns	01/09/2021	

Notepad:

Notes:

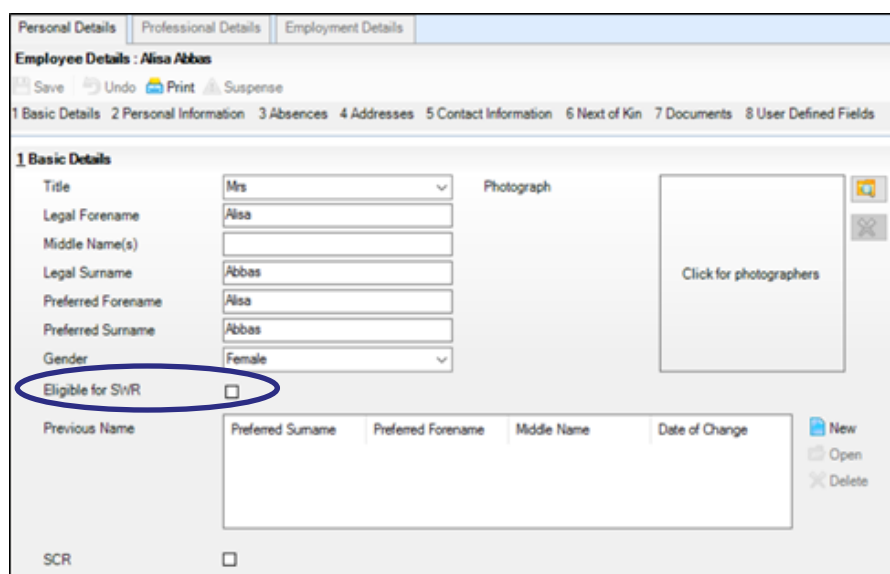
To view the non-staff records, don't forget that you need to change the **Status** to **ALL** on the Staff screen; this normally defaults to **Current Staff**.



Name	Previous Name	Title	Gender	Staff Code
Abbas, Alisa		Mrs	F	
Avery, Helen		Mrs	F	HA
Bates, Belinda Elisabeth		Mrs	F	BEB
Boston, Sarah		Mrs	F	
Boswell, Jennifer Adene		Mrs	F	JAB
Brooks, Carl Thomas		Mr	M	CB
Brown, Chamaine Tanita		Mrs	F	CTB
Brown, Pauline		Mrs	F	PB
Brown, Susan		Mrs	F	

Eligible for SWR Checkbox

To prevent non-staff appearing on the annual School Workforce Return Census (SWR), it is essential to **untick** "Eligible for SWR" checkbox on the Basic Details Panel as shown.



Employee Details : Alisa Abbas

1 Basic Details 2 Personal Information 3 Absences 4 Addresses 5 Contact Information 6 Next of Kin 7 Documents 8 User Defined Fields

1 Basic Details

Title: Mrs
Legal Forename: Alisa
Middle Name(s):
Legal Surname: Abbas
Preferred Forename: Alisa
Preferred Surname: Abbas
Gender: Female

Eligible for SWR ☐

Previous Name: Preferred Surname: Preferred Forename: Middle Name: Date of Change:

SCR ☐

Add a New Staff Check

From within the Personnel record, click **Employment Tab** to navigate to the Employment Details panel.

Personal Details Professional Details **Employment Details**

Employee Details : Helen Avery

Save Undo Print Suspend

1 Employment Details

1 Employment Details

Teaching Staff ☒ Teacher Number 12/12345

Teacher Category **Qualified Teacher** Qualified Teacher Status Qualified

Staff Code HA Employee/Payroll No.

Employment Dates

Employment Start	Leaving Date	Cont Service Start	LA Start	Previous Employer	Next
07/09/1993		06/08/1992	06/08/1992	Housewife	

New Open Delete

Check

Check	Clearance Date	Clearance Level
Identity Check	22/04/2014	Satisfactory
Overseas Check Req...	22/04/2014	Not Applicable
Qualifications Required	22/04/2014	Not Applicable
Right to Work in the ...	15/04/2014	Satisfactory

New Open Delete

In the **Check** panel, select **New**. In the **Details** panel, enter the relevant check.

SIMS Add New Check for Jennifer Boswell

Details

Check New

Requested Date

Clearance Date

Clearance Level

Expires on

Reference Number

Document Number

Authenticated by

Notes

OK Cancel

SIMS Add New Check for Jennifer Boswell

Details

Check New

Requested Date

Clearance Date

Clearance Level

Expires on

Reference Number

Document Number

Authenticated by

Notes

Academic Qualifications

Childcare Disqualification Check

DBS Check

Identity Check

Overseas Check Required

Overseas Check Made

Prohibition from Management

Prohibition from Teaching

Qualifications Required

Right to Work in the UK

Section 128 Direction Check

Teacher Sanctions and Restrictions

Overseas Criminal Record Check

Overseas Additional Checks

CRB Check

Health Check

Professional References

Character References

GTC Registration (England)

QTS Check

Previous Employment

Curriculum Vitae checked

Guidance for Entering a New Check

1. **Do not** enter **Clearance Date** or **Authenticated by** until the Check is complete.
2. Enter a check you are starting, such as a DBS Check. It is ok to enter the Requested Date and Reference Number however, the information will not pull though on the **SCR-SIMS OFSTED 09-23 w.Role/SvcTerm v2** report.

Refer to Chapter 6: Entering Checks into a SIMS Record.

Chapter 5 SIMS Check Area & Check Codes

Introduction

The following chapter details the minimum checks that are required by Ofsted and where these will show on the **SCR-SIMS OFSTED 09-23 w.Role/SvcTerm v2** report.

Check Area	SIMS Check Code	Description	SIMS Report
1. Identification	IDC	Identity Check	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm
2. Qualifications	QRD	Qualifications Required	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm
	AQC	Academic Qualification	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm
3. Teaching Regulation Agency (TRA) Checks	TSR	Teacher Sanctions and Restrictions (including Prohibition Order)	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm
	PFT	or Prohibition from Teaching	
4. Vetting Checks	DBS	Enhanced DBS check with Children's Barred list check	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm
	CRB	CRB check	SCR CRB Due to Expire v3
5. Right to Work in UK	RTW	Right to Work	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm SCR Right to Work Due to Expire v3
6. Section 128 Barring Direction Check	S128	S128 Direction Check	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm
	PFM	or Prohibition from Management	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm
7. Overseas Checks	OCR	Overseas Checks Required	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm
	OCM	Overseas Checks Made	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm
8. Childcare Disqualification Regulations (if applicable to Phase)	CDD	Childcare Disqualification Declaration	SCR-SIMS Ofsted 09-23 w. Role/SvcTerm

Other Employment Checks (not Mandatory) on SCR Extract Report v3

It is possible to report on these for an individual or for everyone.

References	PRC	Professional References	SCR Extract v3 Report
	CRC	Character References	
Health Check	HCC	Health Check	SCR Extract v3 Report
QTS (Teachers only)	QTS	Qualified Teacher Status	SCR Extract v3 Report
GTC	GTC	GTC Registration (England)	SCR Extract v3 Report

Chapter 6 Entering SCR Checks into a SIMS Record

Introduction

The following chapter details how to enter checks into a SIMS Personnel Record.

Identification

Identity Check (IDC)

Fields to enter	Employees	Non Employees
Check Type	Identity Check	Identity Check
Clearance Date	Date all documentation seen	Date all documentation seen
Clearance level	Satisfactory	Satisfactory
Authenticated by	Initial and Surname of person who undertook the check	Initial and Surname of person who undertook the check
Notes	List documents seen eg. Passport; Electricity bill; Bank Statement For long term employees For employee who started work prior to 2002 this can say "With CRB/DBS"	List documents seen eg. Passport; Electricity bill; Bank Statement For Agency Staff This should say "ID Photocard" or similar

You must record:

- the full name of the individual
- the current home address
- date of birth
- The documents seen for evidence of ID must be originals – photocopies should never be accepted. The documents should confirm the name, date of birth, address and be in a photographic form of identity such as a passport. If photographic evidence is not available, you should try to seek more than one additional form of ID along the lines required for a DBS Check. The evidence seen eg. passport plus the date and name of the person who checked it must be recorded on the SCR.

The Home Address forms part of proof of identity and as such, evidence should be obtained that the address has been checked. There is no requirement to evidence any change of address throughout employment.

Schools are expected to retain copies of documentation used to confirm ID and Proof of Right to Work in the UK. Copies of this information should be kept on a secure, restricted and confidential basis in local personal files once the details have been entered onto the SCR (including the name of the person who witnessed the ID and date of the check).



Qualifications

Qualifications Required (QRD)

The Qualifications Required check is a **Yes/No** indicator and needs to be present for everyone.

Fields to enter	Teaching Staff or HLTA	Others
Check Type	Qualifications Required	Qualifications Required
Clearance Level For Agency Staff	Yes Agency Confirmed	Not Applicable
Authenticated By	ID of person doing checks	
Clearance Date	Date verified	
Notes	Role description such as Teacher, HLTA	N/A and role description such as, TA, Governor, Parent Volunteer.

Only professional qualifications that are a requirement for a role need to be recorded eg. Qualified Teacher Status (QTS) for teachers in LA Schools. All qualifications held by an individual can be checked but this is optional and is not a requirement.

Note: a HLTA qualification should be verified where relevant. Where qualifications are not required, each field should be completed with 'N/A'

Academic Qualifications (AQC)

Only required if the **Qualification Required** is set to **Yes**.

Fields to enter	Teachers, HLTA
Check Type	Academic Qualifications
Clearance Date	Date all documentation seen
Authenticated by	Initial and Surname of person who undertook the check
Clearance Level	Satisfactory, once all documents verified
Notes	Summary of Qualifications (ie. BEd)



Teaching Regulation Agency (TRA) Checks

Teachers Sanctions & Restrictions including Prohibition Order (TSR)

or

Prohibition from Teaching (PFT)

Fields to enter	Teaching Staff HLTA or TA (if applicable)	Others Agency Staff
Check Type	Teacher Sanctions and Restrictions or Prohibition from Teaching	Teacher Sanctions and Restrictions or Prohibition from Teaching
Clearance Date	Date of clearance approved / not approved	Date of clearance approved / not approved
Clearance Level	Satisfactory or any suitable level where check has not been approved (ie. unsatisfactory / Barred from Teaching)	Satisfactory or any suitable level where check has not been approved (ie. unsatisfactory / Barred from Teaching)
Authenticated by	Initial and Surname of person who entered the check details.	Agency Confirmed
Notes	Only if required if check is for historic General Teaching Council for England sanctions and restrictions or Teachers who have failed induction or probation, please note here.	N/A

Maintained Schools	Academies/Free Schools
TA's not required (at present)	TA's if undertaking teaching work
HLTA's YES if understanding teaching work	HLTA's if undertaking teaching work

Prohibition from Teaching also includes Teachers sanctioned in other EEA Member States from 18th January 2016. Buckinghamshire Council Safeguarding recommend that these checks are extended to all teaching staff.

From 1st January 2021, schools should be aware that for teachers coming to work in the UK:

- The TRA no longer maintains a list of those teachers who have been sanctioned in EEA Member States.
- Professional regulators in the EEA (the EU, Iceland, Lichtenstein and Norway) no longer share information about any sanctions imposed on EEA teachers with the UK's Teaching Regulation Agency (TRA).
- A teacher should be requested to provide proof of his/her past conduct as a teacher through a "letter of professional standing" issued by the relevant professional regulating authority of a country in which a teacher has worked (schools may wish to consider obtaining a "letter of professional standing" for any teacher coming to work in the UK from any other country, not just EEA countries).



Schools should make any other further vetting checks that they think are appropriate for any applicant who has lived or worked outside the UK – including obtaining a DBS Certificate – so that any relevant events that occurred outside the UK can be considered as part of any selection procedure.

Historic General Teaching Council for England (GTCE) sanctions and restrictions.

Teachers who have failed induction or probation:

- currently schools / Academies check that teachers are not subject to the restrictions and sanctions listed at “Teachers and others prohibited from the profession” and “Teachers sanctioned in other EEA member states” held on the Teacher Services website.
- the revised Guidance requires that the Historic GTCE Sanctions and Restrictions list should also be checked by schools / Academies for any new teaching staff.
- the revised Guidance requires a check is made by schools / Academies confirming that any teaching staff are not on the “Teachers who have failed induction or probation” list which is also at the Teacher Services website. Action: include “Historic GTCE sanctions and restrictions” and “Teachers who have failed induction or probation” lists held at the Teachers Services website for new teaching staff from 3 September 2018.



Vetting Checks

DBS Check (DBS)

Fields to enter	Employees / Non Employees
Check Type	DBS
Clearance Date	Date of clearance approved as printed on clearance slip by Buckinghamshire Council.
Document Number	Disclosure number
Clearance Level	Basic Clearance Standard Clearance Enhanced Clearance Enhanced Clearance with List Checks** Enhanced List with Children's Barred List Check Enhanced List with Adults Barred List Check Enhanced List with Children's & Adult Barred List Check Agency Cleared
Authenticated by	Initial and Surname of person who entered the check details.
Notes	**Enhanced Clearance with List Checks – specify children; adults; or children and adults. Separate clearance level checks can be added if preferred. Agency Confirmed (if Agency Staff)
If a Barred List check has been entered whilst waiting for a full DBS, overwrite the Barred List details with the DBS details, as above. Do not create a separate DBS check as this will not be reported on.	

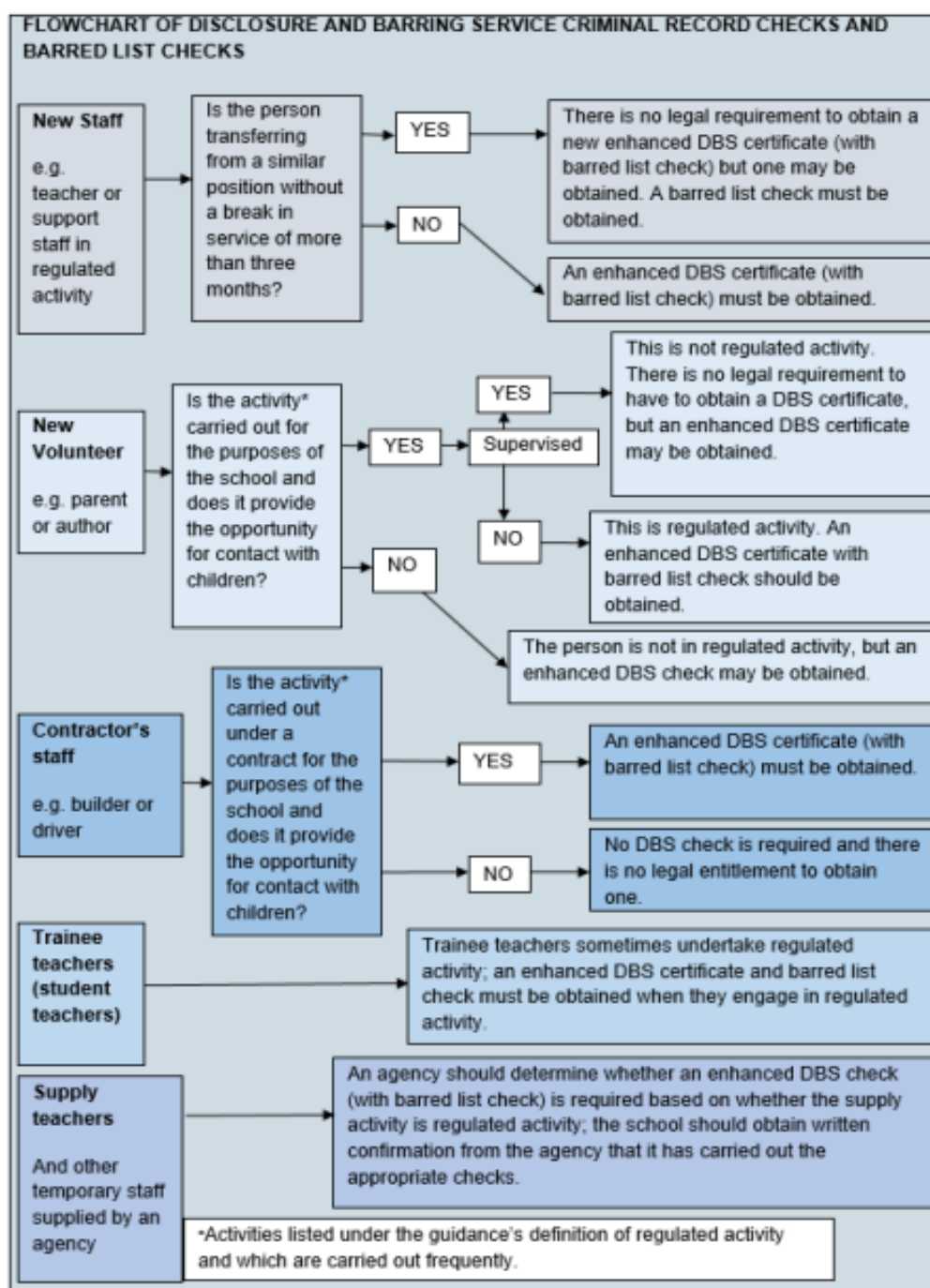
Barred List Check Temporary Check (DBS)

A Barred List check is not normally required as this forms part of the DBS. If a Barred List is required whilst waiting for full DBS, then add a **New** check with the following information entered:

Fields to enter	Employees	Non Employees
Check Type	DBS	DBS
Clearance Date	Date of clearance approved as printed on clearance slip by Buckinghamshire Council	Date of clearance approved as printed on clearance slip by Buckinghamshire Council
Clearance Level	Satisfactory	Satisfactory
Authenticated by	Initial and Surname of person who entered the check details	Initial and Surname of person who entered the check details
Notes	Barred List Check	Barred List Check

- Barred List check is only temporary and must be superseded by a full DBS check.
- A full DBS check will overwrite the Barred List check when completed.

Flowchart of Disclosure and Barring Service Criminal Record Checks and Barred List Checks





Right to Work in the UK

Right to Work (RTW)

The **Right to Work** check is a **Yes/No** indicator and needs to be present for everyone.

Fields to enter	ALL
Check Type	Right to Work in the UK
Clearance Level	Yes
Clearance Date	Date verified
Expiry Date:	Work Permit / Visas ONLY
Authenticated by	Initial and Surname of person who made check
Agency Staff	or Agency Confirmed
Notes	Documentation evidenced eg. British Passport, Visa, work permit (add visa number)

- Evidence of “proof of the right to work in the UK” must be seen and copies verified prior to an employee commencing work. Note: Buckinghamshire Council recommend this requirement should also be applied to volunteers who work frequently or intensively. School Governors do not need to have this check unless they also work or volunteer in another capacity on a regular basis at the school.
- Please refer to the Asylum and Immigration pages on SchoolsWeb for further information about the process and a list of acceptable documents.
- Please note: a full copy of the evidence used to confirm the “right to work in the UK” (eg. a passport) should be kept confidentially in a local personnel file for at least two years after an individual has left a school.

Section 128 Barring Direction Check

S128 Direction Check (S128) or Prohibition from Management (PFM)

Fields to enter:	<u>Academies ONLY</u>		<u>LA Maintained ONLY</u>
	All teaching and non-teaching positions (incl. HT's) on a Senior Leadership Team; or Teaching positions which are deemed to be "Heads of Department".	Teaching Staff (incl. HT) and Non-Teaching Staff who are part of the Governing Body Governor in a non-regulated activity.	LA maintained schools must confirm that each proposed and existing governor of that School is not barred as a result of a Section 128 direction.
Check Type	S128 Direction Check or Prohibition from Management	S128 Direction Check or Prohibition from Management	S128 Direction Check or Prohibition from Management
Clearance Date	Date verified	Date verified	Date verified
Clearance Level	Satisfactory Not Applicable	Satisfactory Not Applicable	Satisfactory Not Applicable
Authenticated by	Initial and Surname of person who entered the check details.	Initial and Surname of person who entered the check details.	Initial and Surname of person who entered the check details.
Notes	Role and/or Governor Title (eg. Teacher and Numeracy Governor)	Governor Title (eg. Finance Governor)	Governor Title (eg. Finance Governor)

KCSiE - with effect from 3 September 2018 the S128 check is mandatory for all Governors (new and existing) including those in LA Maintained Schools. With effect from 5th January 2015 it was mandatory for all Proprietor Governors and Members of the Senior Leadership Team, including Heads of Departments, in Academies and Free Schools to be checked that they are not barred under the terms of Section 128 of the Education and Skills Act 2008. This check is undertaken via Teacher Services website. Refer to the Safeguarding in Employment pages on SchoolsWeb for more detailed information.

The requirement for section 128 checks covers individuals "taking part in the management of an independent school" which consequently covers:

- Membership of an Academy's proprietor body (which includes Governors if the Governor's Body is the proprietor body for an Academy);
- A Headteacher;
- All teaching and non-teaching positions on a Senior Leadership Team;
- Teaching positions which are deemed to be Heads of Department.

Section 128 checks are not required for current staff and members of a proprietor body of an Academy who were in position prior to 5 January 2015. Section 128 checks only need to be undertaken for relevant new staff members and members of a proprietor body of an Academy appointed after that date.

A person subject to a Section 128 direction is also disqualified from holding or continuing to hold office as a governor of a maintained school.

A Section 128 direction will be disclosed when an **enhanced DBS check with children's barred list** information is requested, provided that '**child workforce independent schools**' is specified on the application form as the position applied for.



Overseas Checks

Overseas Check Required (OCR)

The **Overseas Check Required** check is a **Yes/No** indicator and needs to be present for everyone.

Fields to enter	All persons	
Check Type	Overseas Check Required	
Clearance Level	Yes If a check is required also complete Overseas Check Made.	No If no check required
Authenticated by	Initial and Surname of person who made the check or Agency Confirmed	Initial and Surname of person who made the check or Agency Confirmed
Clearance Date	Date verified	Date verified
Notes	Enter details why necessary	Not Applicable

NOTE: Overseas certificates of good conduct are required for candidates who have spent 6 or more months abroad in the last 5 years, even British Citizens.

<https://account.ecitizen.go.ke>

Also Passport details can be recorded in **Panel 2 - Personal Information** if required.

Overseas Check Made (OCM)

Only required for those individuals where the **Clearance** is set to **Yes** on **Overseas Check Required**.

Fields to enter	Only for persons requiring an overseas check
Check Type	Overseas Check Made
Requested Date	Date requested
Clearance Date	Date check cleared
Clearance Level	Satisfactory (once all documentation verified)
Authenticated by	Initial and Surname of person who undertook the checks
Notes	If required



Childcare Disqualification Regulations

Childcare Disqualification Declaration (CDD) *(if applicable for School Phase)*

Fields to enter	Employees / Non Employees
Check Type	Childcare Disqualification Declaration
Clearance Date	Date the signed Self Declaration is received.
Clearance Level	Satisfactory Not Satisfactory Agency Confirmed
Authenticated by	Initial and Surname of person who entered the check details.
Notes	Self-declaration received and filed <i>or</i> similar Agency Confirmed (if Supply worker)

Staff are covered by this legislation if they are employed or engaged to provide early years childcare (this covers the age range from birth until 1 September following a child's fifth birthday, that is up to and including reception year) or later years childcare (this covers children above reception age but who have not attained the age of 8) in nursery, primary or secondary school settings, or if they are directly concerned with the management of such childcare.

Staff in secondary schools only come in to scope if they provide childcare, or manage the childcare provision for those children covered by these arrangements. For example, if they host after-school childcare for children under 8.

There is not a legal requirement for a relevant staff member or volunteer to sign a Self-Declaration Form confirming his/her disqualification status; Schools / Academies do need to be able to confirm, however, the date on which a disqualification check was completed so Buckinghamshire Council's recommendation is to ask a relevant staff member and volunteer to sign a Declaration Form such as the one produced by them.

Schools/Academies will need to develop a process for obtaining regular confirmation from relevant staff/volunteers that there has been no change to their "disqualification status." Although there is no timeframe mentioned for obtaining the confirmation, HR believe that an annual reminder to relevant staff/volunteers asking for an individual email response is sufficient. Copies of email confirmation from relevant staff/volunteers should be kept on an individual's local personal file.

Refer to SchoolsWeb for further information:

<https://schoolsweb.bucksc.gov.uk/hr-zone/dbs-and-safeguarding-in-employment/additional-safeguarding-vetting-checks>

Check the latest DfE guidance from:

<https://www.gov.uk/government/publications/disqualification-under-the-childcare-act-2006/disqualification-under-the-childcare-act-2006>

Chapter 7 Entering Additional Employment Checks

Introduction

For a comprehensive and complete list of employment checks, the following checks can be entered onto the SIMS system.

Note: these are **not mandatory** and **will not be** included on the **SCR-SIMS Ofsted 09-23 w.Role/SvcTerm** report.

Professional Reference Check (PRC)

Fields to enter	Employees	Non Employees	SCR Extract v3
Check	Professional Reference	If applicable.	✓
Requested Date	Date requested		✓
Clearance Date	Date all necessary references seen		✓
Clearance Level	Satisfactory, once all documentation verified		✓
Expires on			✓
Reference Number	Your file reference		✓
Document Number			✓
Authenticated by	Initial and Surname of person who undertook the check		✓
Notes	Summarise references		✓

Character Reference Check (CRC)

Fields to enter	Employees	Non Employees	SCR Extract v3
Check	Character Reference	If applicable.	✓
Requested Date	Date requested		✓
Clearance Date	Date all necessary references seen		✓
Clearance Level	Satisfactory, once all documentation verified		✓
Expires on			✓
Reference Number	Your file reference		✓
Document Number			✓
Authenticated by	Initial and Surname of person who undertook the check		✓
Notes	Summarise references		✓

Health Check (HCC)

Fields to enter	Employees	Non Employees	SCR Extract v3
Check	Health Check	Not needed	✓
Requested Date	Date requested		✓
Clearance Date	Date cleared		✓
Clearance Level	Satisfactory, once check complete		✓
Expires on			✓
Reference Number	Your file reference		✓
Document Number			✓
Authenticated by	Initial and Surname of person who undertook the check		✓
Notes			✓

QTS Check for Teachers only (QTS)

Fields to enter	Teachers	Non Teachers	SCR Extract v3
Check	QTS Check	Not required	✓
Requested Date	Date requested		✓
Clearance Date	Date documentation seen		✓
Clearance Level	Satisfactory, once all documentation verified		✓
Expires on			✓
Reference Number	Your file reference		✓
Document Number			✓
Authenticated by	Initial and Surname of person who undertook the check		✓
Notes			✓

GTC Check for Teaching Staff only (GTC)

Fields to enter	Teachers	Non Teachers	SCR Extract v3
Check	GTC Registration	Not required	✓
Requested Date	Date requested		✓
Clearance Date	Date documentation seen		✓
Clearance Level	Satisfactory, once all documentation verified		✓
Expires on			✓
Reference Number	Your file reference		✓
Document Number			✓
Authenticated by	Initial and Surname of person who undertook the check		✓
Notes			✓

Chapter 8 SCR-SIMS Ofsted 09-23 w.Role/SvcTerm Report

Introduction

The **SCR-SIMS Ofsted 09-23 w.Role/SvcTerm** Report provide a Single Central Record that can be produced during an OFSTED inspection or when requested by the Head Teacher or Governors etc. All the data can be held within SIMS in **one** secure location and the information can be used to manage the checks.

Note: The report has been filtered so any checks which have an expiry date, will **not** show on the report.

Example of a Completed SCR Record for a Member of Staff

Mrs Jennifer Boswell
Address: Western Elms Lodge Western Elms Avenue, Reading, RG30 1AT
DOB: 18 Jun 1972
Employment Start Date: 01 Sep 2000
Teacher Number (if applicable): 97/73452

Role Start Date:	Role:	Service Agreement Start Date:	Service Agreement Reason:
01 Sep 2002	Classroom Teacher	01 Sep 2021	School Governor

Check:	Level:	Clearance Date:	Document Number (if applicable for SCR)	Checked by:	Notes:
Academic Qualifications	Satisfactory	31 Jul 1999		C Brown	BEEd, MEd
Childcare Disqualification Check	Satisfactory	28 Apr 2021		T Table	declaration received and filed
DBS Check	Enhanced List with Children's Barred List Check	01 Feb 2021	285396410	T Globe	
Identity Check	Satisfactory	28 Aug 1999	9520078/85	C Brown	Passport, gas bill, council tax bill
Overseas Check Made	Satisfactory	23 Aug 2000	8569/888	P Peters	Certificate of Good conduct received and verified
Overseas Check Required	Yes	28 Jul 2000	158/888	R Rogers	lived in France 3 years
Qualifications Required	Yes	31 Aug 2000		C Grover	Teacher
Right to Work in the UK	Satisfactory	28 Jul 2000	9502287401	Y Yones	Passport
Section 128 Direction Check	Satisfactory	27 Jan 2021		C Jones	Teacher Governor
Teacher Sanctions and Restrictions	Satisfactory	31 Jul 1999		C Brown	

The quick reference chart below identifies which checks are required for Ofsted and what data must appear on the report.

If the Personnel record is for a Supply teacher from an Agency – insert Agency Confirmed in the appropriate fields, as below.

Check Name	Authenticated by	Clearance date	Clearance level	Document Number	Notes
Identity Check	Name of authenticator	Date verified	Satisfactory	-----	Evidence (Photo ID, utility bill, license etc)
			Agency Confirmed		Agency Confirmed
Qualifications Required	Name of Authenticator	Date verified	Y for teachers and HLTA	-----	Role Description ie. teacher, volunteer and not applicable (if n/a)
			Not Applicable if not required.		



			Agency Confirmed			
Academic Qualifications (Yes)	Name of authenticator	Date verified	Satisfactory	-----	Summary of Qualifications	
			Agency confirmed		Agency Confirmed	
Academic Qualifications (No)	-----	-----	-----	-----	-----	
Barred List (DBS check Type)	Name of authenticator	Date verified	Satisfactory	-----	Barred List	
			Agency Confirmed			
Barred Lists are only recorded where a member of staff needs to start work before the completion of their DBS and must be overwritten with official DBS information when received.						
Teacher Sanctions and Restrictions including Prohibition from Teaching	Name of authenticator	Date verified	Satisfactory or any other suitable if not approved	-----	If required	
DBS	Name of authenticator	Date verified	DBS Basic / Standard / Enhanced / Enhanced with Barred List Check Agency confirmed	Doc No:	If required	
					Agency Confirmed	
S128 Direction	Name of Authenticator	Date Verified	Satisfactory or Not Satisfactory	-----	If Required	
Childcare Disqualification Declaration	Name of Authenticator	Date signed Declaration received	Satisfactory or Not Satisfactory	-----	Declaration received and filed <i>or similar</i>	
			Agency Confirmed		Agency Confirmed	
Right to work in UK	Name of authenticator	Date verified	Expiry Date: Visa/ Work Permits only	Yes or No	Passport or Visa No:	Evidence
				Agency Confirmed	-----	Agency Confirmed
Overseas checks Required	Name of authenticator	Yes = Date Requested	Yes or Not Applicable	-----	Yes - Why required	
		No = -----	Agency confirmed		No – N/A	
Overseas Checks Made (only if required)	Name of authenticator	Clearance Date	Clearance level obtained	-----	Where GCG was obtained	

Chapter 9 Additional SCR Reports Available

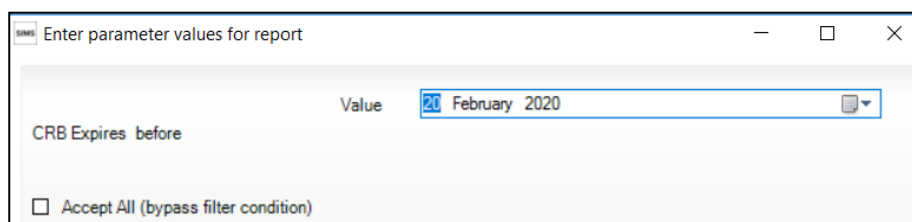
Introduction

There are an additional four SCR reports which can be run to further investigate personnel records.

- SCR CRB Due to Expire v3
- SCR Letter of Assurance (BC)
- SCR Extract Report v3
- SCR Right to Work Due to Expire v3

SCR CRB Due to Expire v3

The report offers 2 parameters, one which allows the user to select which date they wish to search for the other is a **leavers filter** to exclude anybody who has left or who is about to leave.



In the above example, the report has been produced to identify CRB/DBS's that expire before 20th Feb 2020.

Surname	Preferred Forename	Title	Leaving Date	CRB/DBS Check	CRB/DBS Requested Date	CRB/DBS Clearance Date	CRB/DBS Expires On	CRB DBS Clearance Level
Aaron	Zara	Mrs		DBS Check	01 December 2009	01 December 2009	15 December 2009	DBS Enhanced Clearance
Anderson	Mary	Mrs		DBS Check	13 June 2007	18 July 2007	18 July 2010	DBS Enhanced Clearance
Andrews	Selina	Mrs		DBS Check	11 December 2009			
James	George	Mr		DBS Check	21 June 2007	26 July 2007	26 July 2010	DBS Enhanced Clearance
Stephens	Rachel	Ms		DBS Check	11 July 2007	22 August 2007	22 August 2010	DBS Enhanced Clearance

We can also see on this report that Mrs Selina Andrews does not have a valid DBS as there is no clearance information but that a DBS has been applied for on the 11th December.

Note: This report does not detect personnel where no CRB/DBS exists.



SCR Letter of Assurance (Buckinghamshire Council)

<https://schoolsweb.buckscc.gov.uk/hr-zone/dba-and-safeguarding-in-employment/outside-workforce-including-volunteers/dba-checks-for-contractors-in-schools/>

Buckinghamshire Council have created a pre-defined approved mail merge letter which can be used to give to staff who will be working at other school sites (ie. supply teachers or sports coaches). It is available to download from **SchoolsWeb | HR Zone** and imported into SIMS. This letter can be generated within a **Personnel Record** in SIMS using the **Links Panel | Employee Reports**.

LETTER OF ASSURANCE

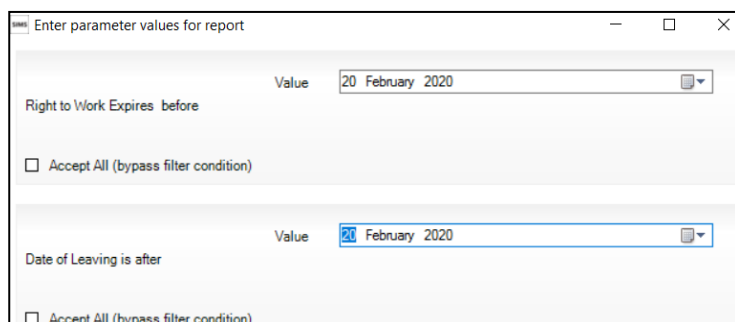
Name of employer:			
Name of employee:			
Job role of employee:			
DBS Certificate Number			
Date of DBS Certificate and date original Certificate seen and by which employee	Date:		Name:
Level of DBS Certificate (please tick)	Basic:	☐	
	Standard:	☐	
	Enhanced:	☐	
Any other checks (please tick if appropriate)			
DBS Children's Barred List:		☐	
Date:			
DBS Adults' Barred List:		☐	
Date:			
I confirm that all appropriate vetting procedures (including appropriate ID checks, confirmation of address and proof of right to work in the United Kingdom) have been carried out and that the above named employee has a DBS Enhanced Certificate (including a Barred List Check) if required, a Certificate of Good Conduct if required (where an employee has lived abroad in the previous 5 years) and qualifications required for the role. ☐			
Date:			
Teaching Regulation Agency Checks (for teaching staff and relevant Teaching Assistants / Higher Level Teaching Assistants) including: Prohibition Order Check; Teachers sanctioned in other EEA Member States; Teachers who have failed Induction or probation; General Teaching Council for England (GTCE) sanctions ☐			
Date:			
Childcare (Disqualifications) Regulations 2018 (where working with children under age 8) ☐			
Date:			
Relevant qualifications have been checked and verified where required in order to undertake the above job role: ☐			
Date:			
Relevant references have been obtained and verified in order to undertake the above job role: ☐			
Date:			
* I confirm that this organisation complies fully with the DBS Code of Practice: www.dbs.gov.uk * I agree to advise the School / Council (as appropriate) of any concerns we may have about the above named employee and any information on any of the above vetting checks. * I confirm that the above named employee will adhere to the School's / Council's safeguarding policies. * I declare that the above Disclosure/Teaching Regulation Agency/Childcare (Disqualification) Regulations 2018 Checks /Qualifications – as appropriate – have been obtained and that any information about the above individual has been shared and discussed with the School/Council. I shall contact the School/Council immediately if there is any information on any future relevant DBS Certificates /Teaching Regulation Agency Checks/Childcare Disqualifications Checks (as appropriate) received in respect of the above employee.			
Signed:		Date:	
Position in Company:			
Name: (Please print)			

The School/Council reserves the right to terminate the existing contract/arrangements if the above organisation has not completed any relevant vetting checks as detailed above.

SCR Right to Work Due to Expire v3

This report interrogates the **Right to Work Expiry Date** on the Checks data held in the SIMS database.

The report offers 2 parameters, one which allows the user to select which date they wish to search for, the other is a **leavers filter** to exclude anybody who has left or who is about to leave.



Note: This report can be used to manage the Checks data on the system but this will only detect where a Right to Work (RTW) check exists.

Preferred Surname	Preferred Forename	Title	Date of Leaving	Right to work	RTW Requested Date	RTW Clearance Date	Right to Work Expires On	RTW Notes
Aaron	Zara	Mrs		Right to Work in the UK	03 September 2009	05 October 2009	30 November 2009	Work Permit
Asif	Mina	Mrs	31 August 2010	Right to Work in the UK	01 December 2009	02 December 2009	08 December 2009	Visa
Brown	James	Mr		Right to Work in the UK	04 May 2009	02 November 2009	07 December 2009	

SCR Extract Report v3

This report extracts all checks held against all current persons on the SIMS database into an Excel format, where **Teaching Staff** is **True**. This can be useful for sorting, searching and selecting data. This is the only effective quick method of checking for missing checks, such as CRB/DBS. It does require a basic level of excel knowledge to be used efficiently.

Due to the size of this extract, it is not possible to show all of the report in one screenshot, therefore, various parts are displayed on the following pages to help with the search for missing data.

	A	B	C	D	E	F	G	H	I
1	Legal Surname	Legal Forename	Address	Date of Birth	Employment Start	Teacher	Acad Qual Req	Acad Qual Auth	Acad Qual Date
2	Aaron	Zara	4 Arnold Cottages Cogdells Lane, Chartridge, HP5 2TW	02 June 1962	05 November 2001	T	Yes	C Deely	20 November 2001
3	Abell	Anita	35 Dudmore Road, Swindon, Wiltshire, SN3 1AF	11 February 1963	01 September 1988	T			
4	Acer	Trudy	47 The Moorings, Fisheries Inn, Herts. HP2 4BY	15 December 1982		F	No	G. Lewis	
5	Anderson	Mary	87 Dudmore Road, Swindon, Wiltshire, SN3 1AF	11 March 1966	01 September 2007	T			
6	Andrews	Selina	53 Cumberland Road, Swindon, Wiltshire, SN3 1AA	13 December 1955	01 April 1991	T			
7	Asher	Dawn	5 Logan Close, Swindon, Wiltshire, SN3 1BG	12 February 1968	20 August 1989	F			
8	Asif	Mina	83 Dudmore Road, Swindon, Wiltshire, SN3 1AF	25 February 1988	01 January 2008	F			
9	Atherton	John	72 Swallowfield Avenue, Swindon, Wiltshire, SN3 1DS	01 August 1960	01 September 2000	T			



In the example, it is possible to see that **Zara Aaron** has an incomplete qualifications check on SIMS. Her teacher status is T = True, Academic Qualifications Required, Academic Qualifications Auth and Acad Qualifications Date are all present. Qualifications Seen is also showing and this is taken from the **Notes** area of the Academic Qualifications Check. However, QTS Authenticated and QTS Check Date are missing. However, these are not needed to meet Ofsted requirements, but for a complete Employment check the QTS columns also need completing.

	A	B	C	D	E	F	G	H	I	J	K	L
1	Legal Surname	Legal Forename	Address	Date of Birth	Employment Start	Teacher T/F	Acad Qual Req	Acad Qual Auth	Acad Qual Date	Quals Seen	QTS Auth	QTS Check Date
2	Aaron	Zara	4 Arnold Cottag	02 June 1905	Noven T	Yes	C Deely	20 November 2001	BSc Biology			
3	Abell	Anita	35 Dudmore Rc	11 Februar	01 Septe T							
4	Acer	Trudy	47 The Mooring	15 December 1982	F	No						

The following fields are exported into Excel via the SCR Data Extract:	
Legal surname and Legal forename	Right to Work in UK Authenticated
Address	Right to Work in UK Clearance Date
Date of Birth	Right to Work in UK Expiry
Employment Start	Right to Work in UK (from Notes)
Teacher T/F (True or False)	Overseas Checks Required Y/N
Academic Qualifications Requested Y/N	Overseas Checks Made Date
Academic Qualifications Authenticated	Overseas Checks Made Clearance
Academic Qualifications Clearance Date	Overseas Checks Made Authenticated
Academic Qualifications Seen (from Notes)	Overseas Checks Made Notes
QTS Authenticated by	GTC Authenticated
QTS Check Date	GTC Authenticated date
Id Authenticated	Professional Reference Authenticated
Id Date	Professional Reference Date
Id Doc types (from Notes)	Professional Reference Notes
List 99 Authenticated	Character Reference Authenticated
List 99 Date	Character Reference Date
DBS Authenticated	Character Reference Notes
DBS Clearance Date	Health check date
DBS Expiry	
DBS Doc number	

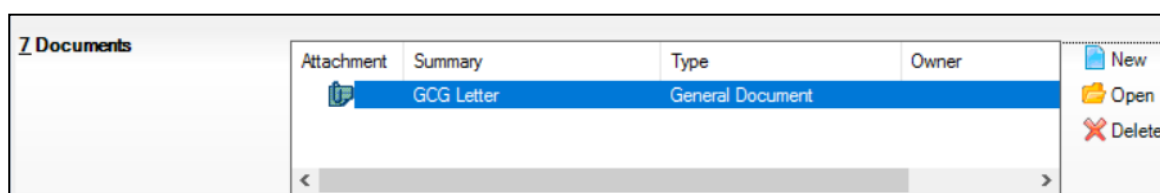
Chapter 10 Storing Documents within Personnel

Introduction

It is possible to store documents, such as references or risk assessments within SIMS Personnel against individual members of staff. This would provide a safe, secure and central location to hold this information.

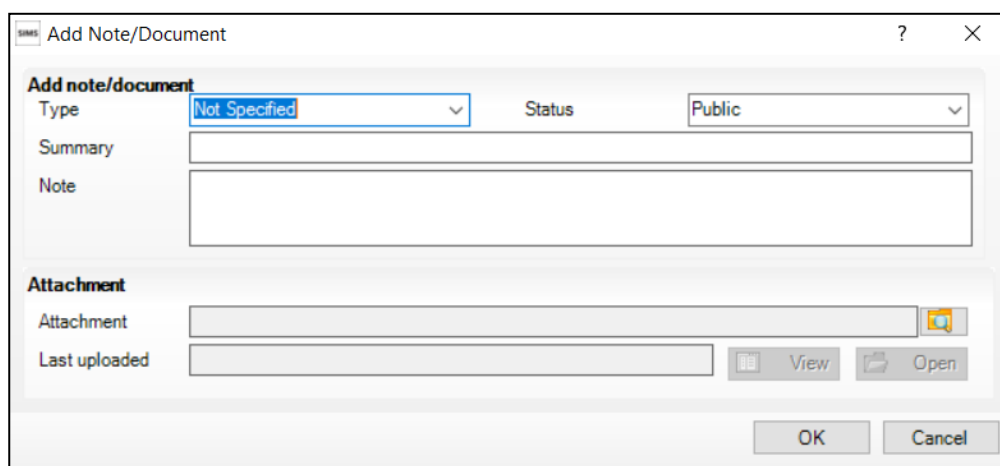
To store letters, documents etc. requires the documents to be held in electronic format which can be Word, .pdf or any other MS Office compatible format types. Paper copies of documents can be scanned and attached to a staff record as required.

Documents can be stored within a Personnel record in **Personal Details - Panel 7: Documents** as shown below:



Attaching a New Document to a Staff Record

To store a further document, click on **NEW** and the following window will open:



From here it is possible to define what type of document is being created ie. whether it is **public**, **private** or **confidential** and to use the Attachment Browse button  to search for the document you wish to upload.

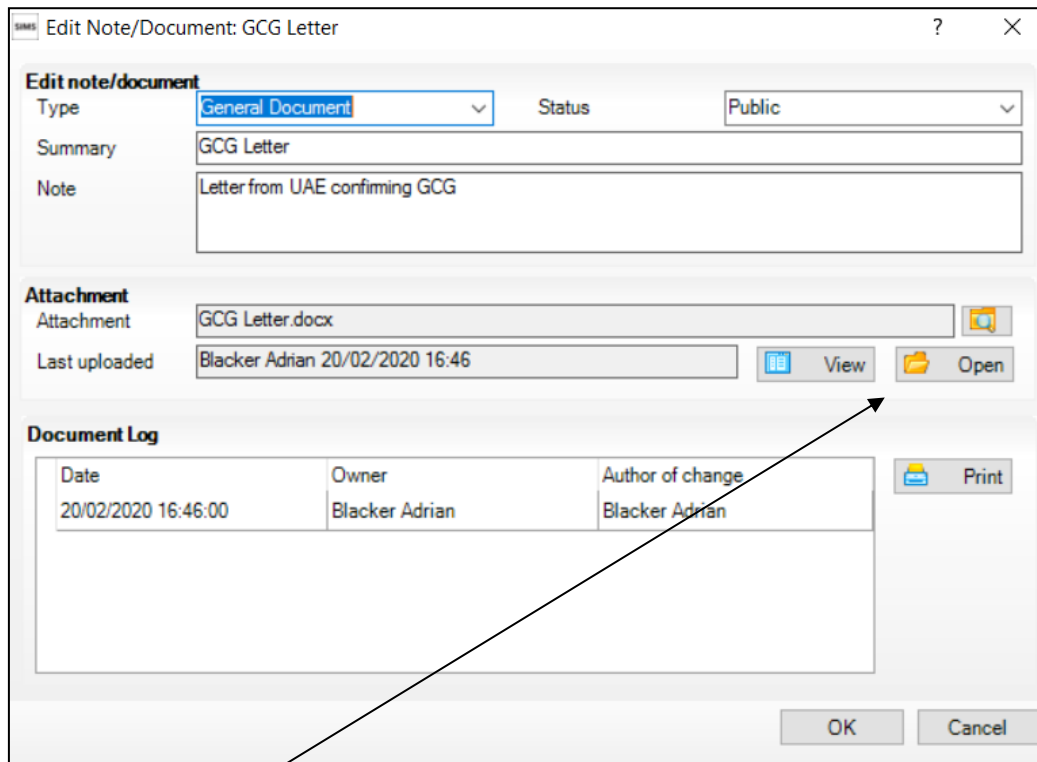
It is possible to pick up the document from anywhere on your PC or memory stick in the normal manner. Once you have found and selected the document, click **OK** and **Save** the staff record.

The attachment will now be saved and can be viewed from within SIMS.

Viewing a staff document

Once a document has been stored against a staff member it is possible to view this from within SIMS given sufficient authority. To view the document, from **Panel 7: Documents**, highlight the document you wish to view and click **Open**.

The following window will be displayed:



Edit Note/Document: GCG Letter

Edit note/document

Type: **General Document** Status: **Public**

Summary: GCG Letter

Note: Letter from UAE confirming GCG

Attachment

Attachment: GCG Letter.docx

Last uploaded: Blacker Adrian 20/02/2020 16:46

Document Log

Date	Owner	Author of change
20/02/2020 16:46:00	Blacker Adrian	Blacker Adrian

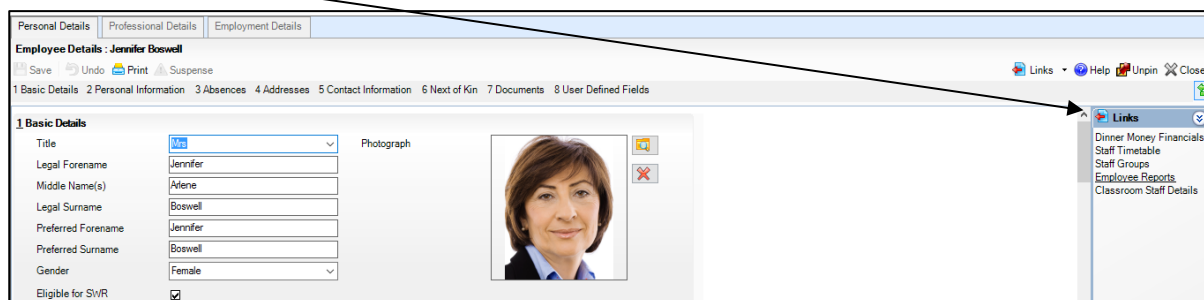
Buttons: View, Open, Print, OK, Cancel

Click **View** or **Open**.

Chapter 11 Printing Vetting Information for a Member of Staff

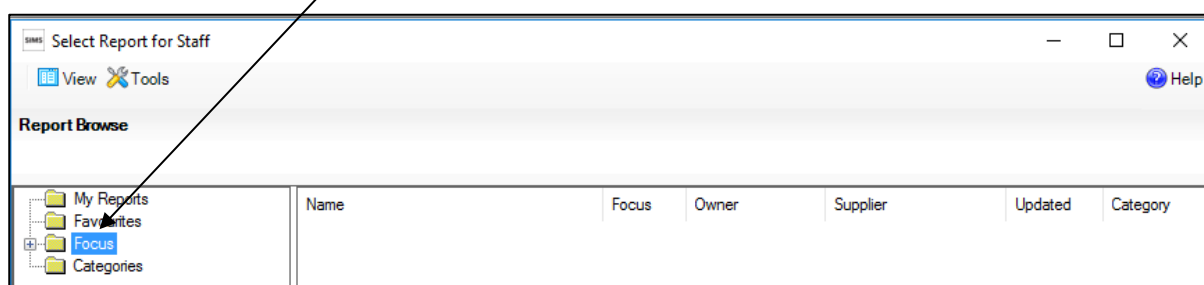
Introduction

It is possible to produce any of the SCR reports for an individual staff member by selecting the report via the **Personnel record | Links Panel | Employee Reports**.

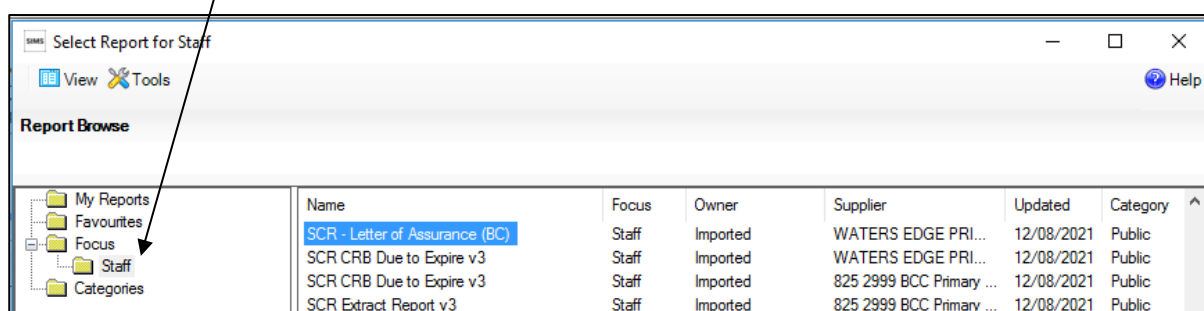


This links through to **Reports** within SIMS:

From here, expand  **Focus**



Then click on the **Staff** folder to open reports.



Name	Focus	Owner	Supplier	Updated	Category
SCR - Letter of Assurance (BC)	Staff	Imported	WATERS EDGE PRI...	12/08/2021	Public
SCR CRB Due to Expire v3	Staff	Imported	WATERS EDGE PRI...	12/08/2021	Public
SCR CRB Due to Expire v3	Staff	Imported	825 2999 BCC Primary ...	12/08/2021	Public
SCR Extract Report v3	Staff	Imported	825 2999 BCC Primary ...	12/08/2021	Public

Now you will see all of the **Staff** reports available for this staff member. Double click on this report and the report will run just for that member of staff.

Appendix A Further Guidance Issued by HR Team Buckinghamshire Council

Always check the HR Zone for updated guidance. The following information has been taken from:

SchoolsWeb | HR Zone | DBS and Safeguarding in Employment

<https://schoolsweb.buckscc.gov.uk/hr-zone/dbs-and-safeguarding-in-employment/>

Teaching Regulation Agency Checks

For the full range of “prohibitions, directions, sanctions and orders for school staff and Governors” always refer to the latest **DfE ‘Keeping Children Safe in Education’** guidance.

Prohibition Order Check

With effect from 2nd September 2013, it has been a statutory requirement that a Prohibition Order (PO) check must be made for any teaching staff employed by a school but is not applicable to other groups of staff.

From 1 January 2021 schools should be aware that for teachers coming to work in the UK:

- Professional regulators in the EEA (the EU, Iceland, Lichtenstein and Norway) no longer share information about any sanctions imposed on EEA teachers with the UK’s Teaching Regulation Agency (TRA).
- The TRA no longer maintains a list of EEA teachers with sanctions.
- A teacher should be requested to provide proof of his / her past conduct as a teacher through a “letter of professional standing” issued by the relevant professional regulating authority of a country in which a teacher has worked (schools may wish to consider obtaining a “letter of professional standing” for any teacher coming to work in the UK from any other country not just EEA countries).

Schools should make any other further vetting checks that they think are appropriate for any applicant who has lived or worked outside the UK - including obtaining a DBS Certificate – so that any relevant events that occurred outside the UK can be considered as part of any selection procedure.

With effect from 3 September 2018:

The Historic GTCE Sanctions and Restrictions list should also be checked by schools / Academies for any teaching staff. (*KCSiE*)

The “Teachers who have failed induction or probation” list which is also at the Teacher Services website must also be checked by schools / Academies to confirm that any teaching staff are not on the list.

The **Prohibition Order** check can be made via [Teacher Services website](#) and checks a teacher’s:

- personal details
- initial teacher training qualifications and any supplementary qualifications
- QTS
- Induction status
- Any active sanctions, any suspension or conditional order
- Prohibition from teaching

A Prohibition Order Check may also be required for any other individuals who carry out ‘teaching work’ eg. Higher Level Teaching Assistants and some Teaching Assistants. ‘Teaching work’ is defined below:

- Planning and preparing lessons and courses for pupils
- Delivering lessons to pupils



- Assessing the development, progress and attainment of pupils
- Reporting on the development, progress and attainment of pupils

Buckinghamshire Council recommends that for LA Maintained Schools, PO Checks for Teaching Assistants are not required although PO Checks for HLTAs should be obtained. For academies and free schools, PO Checks for just those Teaching Assistants undertaking 'teaching work' as well as HLTAs are required and a record of each Check made should be recorded on the SCR.

All five lists can be checked via the Teacher Services website:

- Teachers who have failed induction or probation
- General Teaching Council for England (GTCE) Sanctions
- Teachers and others prohibited from the profession
- Teachers sanctioned in other EEA member states
- Section 128 barring directions

Buckinghamshire Council recommends that the first four lists above are checked for all teaching staff (not just new teaching staff) and recorded on a SCR.

Vetting Checks

A Children's Barred List check must be undertaken on all staff working in Regulated Activity. Where an Enhanced DBS Check is undertaken, this should include a Children's Barred List Check. Where a member of staff commences work before a DBS Certificate is received, a Children's Barred List check must be undertaken separately. Please refer to SchoolsWeb for further information on how to request a Children's Barred List check and also about the Risk Assessment process.

Volunteers who are closely supervised would not usually be deemed to be undertaking Regulated Activity. In those circumstances, a school has discretion about whether to obtain an Enhanced DBS check. A Children's Barred List Check must not be included in those circumstances. (Refer to previous information on Risk Assessments for volunteers.)

Please note that with effect from 1st September 2016 it is mandatory for all Governors in schools to have an Enhanced DBS Check. A Children's Barred List Check should only be included if a Governor is also undertaking any other activity in the school which falls within the definition of Regulated Activity.

Some employees working in Special Secondary Schools may provide sensitive personal care to pupils aged 18 years of age and older. Employees providing those kinds of services to older pupils may be regarded as undertaking "regulated activity" for adults and consequently may require an Enhanced DBS Check that includes not just a Children's Barred List Check but also an Adults' Barred List Check. Further information about "regulated activity" for adults is at the following publication: Department of Health Regulated Activity (Adults). Alternatively, please contact the HR Service Desk (01296 382233) which will then forward your query to the DBS Team which will provide further guidance and information in relation to your query.

The DBS Update Service was introduced in June 2013 and enables individuals to subscribe annually to the Service and allows a DBS Certificate to be portable.

Where individuals have lived or worked outside the UK for six months or more in the previous five years at the point of submitting a DBS Check application then a Certificate of Good Conduct (CGC) – in effect a police check of criminal records – should be obtained, where possible, from each country where an individual has lived for six or more months. Where a CGC cannot be obtained then after all reasonable efforts a self-declaration may need to be completed. (KCSiE)



Third Party Suppliers / Contractors

Schools must obtain written notification from any agency, or third-party organisation they use, that the organisation has carried out the checks on an individual who will be working at the school that the school would otherwise perform. The written notification confirming the relevant vetting checks have been undertaken by the agency / contractor on the individual is often called a “letter of assurance.” A template “letter of assurance” for use by Buckinghamshire Council schools is on SchoolsWeb.

Contractors / agency staff who work on an unsupervised basis at a school and have regular contact with children must have an Enhanced DBS Check (including a Children’s Barred List Check). Other agency / contractors may need an Enhanced DBS Check depending upon the kind of work being undertaken and the level of supervision provided by a school. (KCSiE)

Under no circumstances should a contractor in respect of whom no checks have been obtained be allowed to work unsupervised or engage in regulated activity. Schools and colleges are responsible for determining the appropriate level of supervision depending on the circumstances.

If an individual working at a school or college is self-employed, the school or college should consider obtaining the DBS check, as self-employed people are not able to make an application directly to the DBS on their own account.

Schools should always check the identity of contractors and their staff on arrival at the school. (KCSiE)

Childcare Disqualification Regulations

Please refer to the Safeguarding in Employment pages on SchoolsWeb for more detailed information on the Childcare Disqualification Regulations and those staff and volunteers to whom the Regulations apply. (KCSiE)

The SCR template can be used to add discretionary sections where schools wish to do so. Examples include:

- recording of references received – whilst obtaining and checking references is a vital part of safer recruitment for staff and volunteers it is not mandatory to record this information on the SCR. However, a column can be added if required. There is no requirement to obtain references for Governors although may wish to do so as part of “good practice.”
- evidence of safeguarding training undertaken.

DBS Checks for Governors in Schools

All Governors, in whatever kind of school, maintained, independent, academy or free school, must have an Enhanced DBS Certificate. This follows amended legislation which came into force on the 18th March 2016 to make Enhanced DBS checks mandatory for Governors in maintained schools.

LA Maintained Schools need to undertake 'Section 128 checks' for all Governors. Section 128 of the Education and Skills Act 2008 prohibits unsuitable staff and proprietors from 'taking part in the management of an Independent School.'

This legislation, which included academies and free schools, and has now been extended further to include Governors of LA Maintained Schools. Refer to **DfE** latest 'Keeping Children Safe in Education' guidance.

Section 128 Direction Checks

The easiest way to obtain a Section 128 check for all Governors and relevant staff is to undertake a section 128 check through the **Teacher Services** website because:

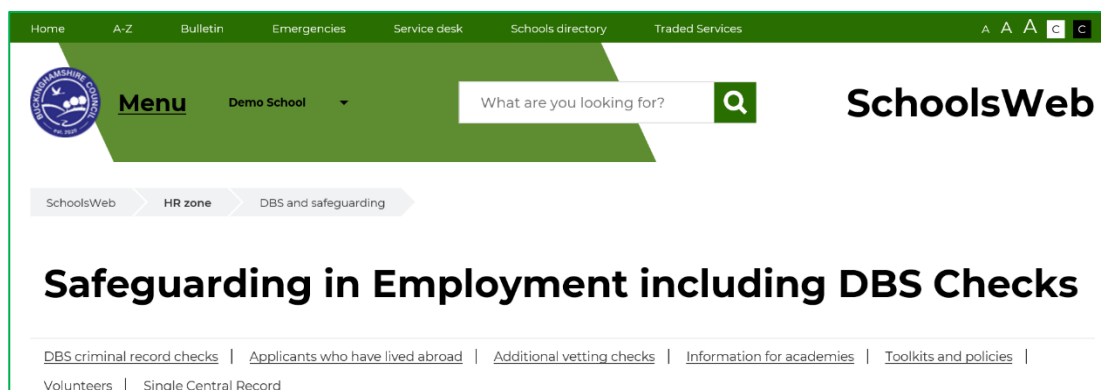
- a Section 128 check is only included in an Enhanced DBS Check that also includes a 'Barred List Check'.
- a 'Barred List Check' can only be included as part of an Enhanced DBS Check where a person is undertaking 'regulated activity'.

Appendix B Useful Contacts

Buckinghamshire Council

For latest news and guidance, or for more detailed information, refer to the **HR Zone** on **SchoolsWeb**.

<https://schoolsweb.buckscc.gov.uk/hr-zone/dbs-and-safeguarding-in-employment/>



HR Service Desk: 01296 382233

Email: HRServiceDesk@buckinghamshire.gov.uk

HRSiE@buckinghamshire.gov.uk

Department for Education Guidance

Keeping Children Safe in Education (KCSiE)

<https://www.gov.uk/government/publications/keeping-children-safe-in-education--2>

Children and Safer Recruitment in Education:

<https://www.gov.uk/government/publications/safeguarding-children-and-safer-recruitment-in-education>

Employers Guide for Acceptable Right to Work Documentation:

<https://www.gov.uk/government/publications/acceptable-right-to-work-documents-an-employers-guide>

Right to Work Check

<https://www.gov.uk/check-job-applicant-right-to-work>

Ofsted Guidance

<http://www.ofsted.gov.uk/schools/for-schools/safeguarding-children>

Childcare (Disqualification) Regulations

<https://www.gov.uk/government/publications/disqualification-under-the-childcare-act-2006/disqualification-under-the-childcare-act-2006>

Disclosure and Barring Service

<https://www.gov.uk/government/organisations/disclosure-and-barring-service>