



Stafford and Surrounds Clinical Commissioning Group

Recruiting Ex-Offenders Policy

Agreed at Governing Body

Date: 18 November 2014

Signature: *Dr. Paddy Murray*

Designation: Chair, Stafford and Surrounds CCG

HR Policy:	
Date Issued:	06/11/2014
Date to be reviewed:	Periodically or if legislation changes

Policy Title:	Recruiting Ex-Offenders Policy	
Supersedes:	All previous Recruiting Ex-Offenders Policies	
Description of Amendment(s):	New Policy for CCG employees	
This policy will impact on:	All staff.	
Financial Implications:	No change.	
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Author:	CSU HR Policy Lead	
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APPROVAL RECORD		
	<u>Committees / Groups / Individual</u>	Date
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Approved by Committees:	Management / Staff Side CCG Partnership Forum	September 14

Contents

1.0	POLICY STATEMENT	4
2.0	PRINCIPLES	4
3.0	EQUALITY STATEMENT	6
4.0	MONITORING AND REVIEW	6
Part 2		
1.0	Procedure	7
Appendix 1	Dealing With Disclosures in Recruitment & Selection	8
Appendix 2	Deciding if a DBS check is required	10
Appendix 3	Equality Impact Assessment	11

HR POLICIES RECRUITING EX-OFFENDERS

1. POLICY STATEMENT

- 1.1 The Organisation uses the Disclosure service provided by the Disclosure Barring Service (DBS) to assess applicants' suitability for positions of trust. The Organisation complies fully with the DBS Code of Practice and undertakes to treat all applicants fairly.
- 1.2 The Organisation undertakes not to discriminate unfairly against any subject of a Disclosure on the basis of conviction or other information received. Guidance on dealing with disclosures is attached at Appendix 1.
- 1.3 This policy will be made available to all applicants who are required to provide a Disclosure, at the beginning of the recruitment process.

2. PRINCIPLES

- 2.1 The Organisation actively promotes equality of opportunity for all and welcomes applications from a wide range of candidates, including those with criminal records, as we select all candidates for interview based on their skills, qualifications and experience.
- 2.2 Disclosures are only requested after a thorough risk assessment has indicated that it is proportionate and relevant to the post concerned. For those posts that require a Disclosure, all adverts, recruitment briefs and application forms will contain a statement indicating what level of Disclosure will be required in the event of an individual being offered a position.
- 2.3 The Organisation will only ask for details of 'unspent' convictions as defined in the Rehabilitation of Offenders Act 1974. However, the Organisation reserves the right, if necessary, to ask details about an applicant's entire criminal record.
- 2.4 The Organisation has a number of HR Representatives who are registered with the DBS as the person authorised to handle Disclosures. HR Representatives have been trained to identify and assess the circumstances and relevance of offences and have received appropriate guidance and training in the relevant legislation relating to the employment of ex-offenders.
- 2.5 HR Representatives will advise and guide recruiting managers where a Disclosure has been made.
- 2.6 The Organisation undertakes to discuss any matter revealed in a Disclosure with the person seeking employment, before withdrawing a conditional offer of employment.
- 2.7 The Organisation may conduct an interview to enable an open and measured discussion to take place regarding any offences or other matters that might be relevant to the position. Failure to reveal information that is directly relevant to the position sought, could lead to the withdrawal of an offer of employment.
- 2.8 The Organisation complies fully with the DBS Code of Practice. Every person who is subject to a Disclosure will be made aware of this Code of Practice and a copy will be provided to all applicants.
- 2.9 Having a criminal record will not necessarily bar a potential employee from working with the Organisation. This will depend on the nature of the position and the circumstance and background of the offence(s).

Security, Storage, Handling, Use, Retention, and Disposal of Disclosures And Disclosure Information

- 2.10 The Organisation complies fully with the DBS Code of Practice regarding the correct handling, use, storage, retention and disposal of Disclosures and Disclosure information.
- 2.11 The Organisation complies fully with its obligations under the Data Protection Act and other relevant legislation pertaining to the safe handling, use, storage, retention and disposal of Disclosure information.

Storage, Access & Disposal

- 2.12 Disclosure information will be securely destroyed as soon as the relevant information has been noted.
- 2.13 No Disclosure information will be kept on personal files and where a Disclosure needs to be kept due to a dispute or because additional information has been supplied, it will be kept separately and securely in a non-portable, lockable storage unit.
- 2.14 Where a Disclosure has been kept, it will be securely destroyed once the dispute is resolved or a decision made regarding employment or at the latest after 6 months.
- 2.15 Access to Disclosure information is strictly controlled and limited to those who are entitled to see it as part of their duties.
- 2.16 The Organisation will not keep any photocopy or other image of the Disclosure or any copy or representation of the contents of a Disclosure. However, for record purposes only, the Organisation will keep the following information:
- The name of the subject
 - The level of Disclosure requested
 - The position for which the Disclosure was requested
 - The unique reference number of the Disclosure
 - Details of the recruitment decision taken

Handling

- 2.17 In accordance with section 124 of the Police Act 1997, Disclosure information is only passed to those who are authorised to receive it in the course of their duties.
- 2.18 The Organisation maintains a record of all people to whom Disclosures and Disclosure information has been revealed and the Organisation recognises that is a ***criminal offence*** to pass this information on to anyone who is not entitled to receive it.

Usage

- 2.19 Disclosure information is only used for the specific purpose for which it was requested and for which the applicant's full consent has been given.
- 2.20 The Organisation will comply with all recommendations from DBS on the proper use and safekeeping of disclosure information.

Acting as an Umbrella Body (an external organisation)

- 2.21 As an Umbrella Body, the CSU has an independent organisation that will take all reasonable steps to ensure that all CCGs for whom it receives Disclosure information comply fully with the DBS Code of Practice and have a written policy regarding the handling, use, storage, retention and disposal of Disclosure information.

- 2.22 Before undertaking a DBS check on behalf of a CCG, the Umbrella body will require the CCG to confirm in writing their intention to comply with the Code of Practice and that they have such a policy or if not practicable, will comply with the code of practice.

3. EQUALITY

In applying this policy, the Organisation will have due regard for the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sexual orientation, in addition to offending background, trade union membership, or any other protected characteristic.

4. MONITORING & REVIEW

- 4.1 This policy and procedure will be reviewed periodically by Human Resources in conjunction with operational managers and Trade Union representatives. Where review is necessary due to legislative change, this will happen immediately.
- 4.2 The implementation and operation of this policy will be audited on an annual basis, including consideration of diversity data, by CSU Leadership Team and reported to the senior management team on a 6 monthly basis

Part 2

1. PROCEDURE

This Policy must be read in conjunction with local CCG Recruitment Procedures

- 1.1 When recruiting for a vacancy the Recruiting Manager needs to answer the questions on the Authority to Recruitment Form. If the answers to those questions result in a DBS check being necessary the Recruiting Manager needs to contact Employment Services team or HR
- 1.2 The Recruiting Manager will ensure that the advert for the vacancy includes notification that it is essential that the successful applicant obtains a satisfactory DBS check and at what level that check must be, either standard or enhanced.
- 1.3 Once a provisional offer of employment has been made the applicant will be sent a Disclosure Application Form and Guidance Booklet with the instruction that the completed form must be returned with the supporting documentation.
- 1.4 The Disclosure Application Form will be verified and countersigned by one of the Human Resources representatives who are registered with the DBS and sent for processing.
- 1.5 On receipt of the form from the DBS it will be processed by the Human Resources representative who countersigned the form.
- 1.6 The Human Resources representative will inform the Recruiting Manager if the Disclosure Application was satisfactory or if it contains any information that may affect the appointment decision.
- 1.7 If the Disclosure Application contains information that may affect the appointment decision, the Human Resources representative will discuss this with the Recruiting Manager (in all instances), and the individual concerned, where appropriate.
- 1.8 Where the information contained on the Disclosure Application form significantly impacts on a candidate's ability to undertake the post for which they have been appointed, the offer of employment must be withdrawn.
- 1.9 If the Disclosure Application contains no information, or information that is not relevant to the post, the offer of employment can be confirmed (subject to all other pre-employment checks having been completed).
- 1.10 Any decision to withdraw an offer of employment must be reached by the agreement of the Human Resources representative and Recruiting Manager. Where both parties fail to agree the decision will be referred to the Organisation's Lead Counter signatory which can be determined by the CCG for a final decision.
- 1.11 The decision to withdraw an offer of employment must be confirmed both verbally and in writing to the candidate concerned.
- 1.12 All completed Disclosure Application Forms will be recorded and retained by Human Resources. The forms will be recorded, stored and destroyed in line with the Data Protection Act, this policy and DBS guidance.

Dealing With Disclosures in Recruitment & Selection

Guidelines for Managers

The Organisation uses the Disclosure Service provided by the **Disclosure Barring Service (DBS)** to assess applicants' suitability for positions of trust.

When advertising/recruiting to a vacant post you must decide whether that position requires a DBS check and if so, at what level. You can use the table outlined overleaf to assist you in making this assessment.

If you decide that a DBS check needs to be undertaken you must inform Human Resources who will ensure that the requirement for a check is made clear in the advertisement.

Departments dealing with their own recruitment will have responsibility for ensuring that the advert contains the requirement for a DBS check.

Types of Check Available

There are three levels of check available:

BASIC LEVEL

Includes details of 'unspent' (current) convictions. This may be used for verifying information for applicants for posts that do not fall under the Rehabilitation of Offenders Act (Exceptions) Order but where the individual is being considered for a position of trust. Examples of such posts may include chief executives; finance managers where the person is in charge of public funds or internal budgets; board level directors or senior management. This level of check is permissible where justifiable, whether or not to take this checks at the discretion of the employer. Basic Level Disclosures can only currently be obtained through Disclosure Scotland. Details on how to obtain basic disclosures are available at www.disclosurescotland.co.uk

STANDARD DISCLOSURE

Includes details of both spent (old) and unspent (current) convictions, cautions, reprimands and final warnings held in England and Wales on the Police National Computer (PNC). Most of the relevant convictions in Scotland and Northern Ireland may also be included.

Employers may carry out standard level criminal record checks to assess a person's suitability for work listed in the Exceptions Order i.e. where the type of work enables the person to have 'access to persons in receipt of such services in the course of [their] normal duties'. The term 'access' only relates to where individuals have direct, physical contact with patients as part of their day to day activities; it does not include positions where there is no contact with patients. Please note that positions that purely involve having access to records are not covered under the terms of the Exceptions Order and therefore employers cannot obtain a standard or enhanced criminal record check for these positions. The changes to the barring arrangements on the 10 September 2012 do no effect eligibility for standard checks. However, it is strongly recommended that employers refer to the Exceptions Order to make an informed decision against positions which may be eligible for a standard level check (*paragraph 13, Part 2 of Schedule 1 of the Order specifically refers*).

ENHANCED DISCLOSURE

An enhanced check contains the same information as a standard check but also includes any non-conviction information held by local police, where they consider it to be relevant to the post.

This information is referred to as 'approved information' on the enhanced check certificate.

From 10 September, there will be two levels of enhanced check – an enhanced disclosure with barred list information (for those that fall under the new definition of regulated activity) and an enhanced disclosure without barring information (for those previously falling within regulated activity but not meeting the terms required under the new definition) – see further detail about eligibility in the sections below.

Eligibility for enhanced with a barred list check

Individuals seeking work in a regulated activity position must be checked against the **DBS** barred lists (this is known as a barred list check). This check is accessed through the process of applying for an Enhanced Disclosure. Individuals in regulated activity are eligible for an enhanced disclosure with barred list information. It will be possible to check against the children's and/or adults' barred list(s), depending on the role under consideration.

Eligibility for enhanced without a barred list check

The number of individuals in regulated activity is being reduced by the changes to the disclosure and barring services and, as a result there will be some positions which will no longer be eligible for an enhanced disclosure with a barred list check from 10 September 2012.

Further information

NHS Employers have produced a helpful document regarding DBS checks which includes scenarios and examples of when checks should be undertaken. The link is <http://www.nhsemployers.org/case-studies-and-resources/2014/07/eligibility-for-dbs-checks-scenarios>

Will the job holder be required to work with children? As per the definition above.	Yes	No
Will the job holder be required to work with vulnerable adults? As per the definition above.	Yes	No
Is the job holder required to be a member of the Legal Profession and a recognised member of the Law Society?	Yes	No
Will the job holder be based at a location where they may come in to contact with children or vulnerable adults, such as a hospital or prison? As per the definition above.	Yes	No
Will the job holder be regularly caring for children or vulnerable adults? As per the definition above.	Yes	No
Will the job holder be required to be a "named person" for the Authority in respect of gaming, lottery or entertainment licences?	Yes	No

Equality Analysis Initial Assessment

Title of the change proposal or policy:

Recruiting Ex-offenders Policy

Brief description of the proposal:

To ensure that the policy amends are fit for purpose, that the policy is legally compliant, complies with NHS LA Standards, NHS Employment Check Standards, DSB Code of practice and takes account of best practice.

Name(s) and role(s) of staff completing this assessment:

Date of assessment:

Please answer the following questions in relation to the proposed change:

Will it affect employees, customers, and/or the public? Please state which.

Yes it will affect all employees and members of the public applying for positions within the organisation.

Is it a major change affecting how a service or policy is delivered or accessed?

No

Will it have an effect on how other organisations operate in terms of equality?

No

If you conclude that there will not be a detrimental impact on any equality group, caused by the proposed change, please state how you have reached that conclusion:

No anticipated detrimental impact on any equality group. The policy adheres to the NHS LA Standards, NHS Employment Check Standards, DBS Code of practice and takes account of best practice. Makes all reasonable provision to ensure equity of access.

The policy will be applied consistently to all applicants regardless of any protected characteristic they may be associated with.