



# Employment Risk Policy (Incorporating DBS Policy Statements)

## Document Control Sheet

QPulse Reference Number	POL-WOD-RE-4
Document Type	Policy
Original Policy Date	01 October 2013
Version Number	03
Document Author	Head of HR
Lead Director or Associate Director	Director of Strategy, Transformation and Workforce
Originating Directorate	Strategy, Transformation and Workforce
Subgroup agreeing policy content	20 October 2015
Date Agreed by Subgroup	20 October 2015
Date Approved by Policy Review Group	20 October 2015
Ratifying Committee	Workforce Committee
Date of Ratification by Committee	11 March 2016
Signature of Chairman of Ratification Committee	
Job Title	Non-Executive Director
Date Policy Effective from	11 March 2016
Next Review Date	11 March 2019
Target Audience	All Applicants, Staff, Volunteers and Contractors
Signed Paper Copy Held at	HQ
Status	Ratified
Confidentiality	Unrestricted
Keywords	Criminal Records, DBS, Disclosure and Barring Service, Safer Recruitment, Recruitment

## Table of Revisions

Version number	Status	Document section	Description of change	Author	Date revised
01	Ratified	Entire Policy	Criminal Record Policy drafted, from DBS Policy, taking into account changes from CRB to DBS	Bridget Halpin	1 October 2013
02	Ratified	Entire Policy	New Draft Policy from scratch To replace DBS Disclosures Policy	K Forsyth	20 October 2015
03	Ratified	15 and 16	Added links and reference numbers.	K Forsyth	10 August 2016

## Executive Directors Signature

Directors signature	Print name	Date
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Executive Directors who will be responsible for ensuring staff within their directorates abide by the policy should sign here to evidence they have seen the policy and agree to its content.

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## 1. Introduction

- 1.1 This document outlines the approach of the North East Ambulance Service NHS Foundation Trust (the Trust) to employing and engaging persons who are fit and proper within the meaning of Regulation 19 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014.
- 1.2 The intention of Regulation 19 is to ensure that healthcare providers only employ or engage only those people who are fit and proper and who are able to provide care and treatment and regulated activity, as appropriate to their role.
- 1.3 To satisfy the Regulation, providers must operate robust recruitment procedures, including undertaking any relevant pre-employment checks. They must have a procedure for monitoring staff on an on-going basis, to ensure they continue to satisfy the requirements, and they must have appropriate arrangements in place to deal with staff who are no longer fit to carry out the duties required of them.
- 1.4 As part of the Trust' pre-employment checks, and as part of a rolling process throughout employment with the Trust, employees and volunteers will be subject to a criminal record check if the Trust deems it necessary as a requirement of the role.
- 1.5 The Trust uses the Disclosure and Barring Service (DBS) to assess suitability of successful candidates, and the continuing suitability of employees, agency workers, workers and volunteers.
- 1.6 The Trust complies fully with the DBS Code of Practice regarding the correct handling, use, storage, retention and disposal of Disclosures and Disclosure information. The Code of Practice is intended to ensure – and to provide assurance to those applying for Basic, Standard and Enhanced Disclosures – that the information released will be used fairly.
- 1.7 The Trust complies fully with its obligations under the Data Protection Act 1998.
- 1.8 Every individual who is involved in DBS checks and employment risk assessments is required to be aware of the Trust's obligations under the DBS Code of Practice and the Data Protection Act. The Trust will ensure that each individual is properly trained to work in accordance with each.
- 1.9 The Trust complies with the relevant legislation and good practice outlined in the *NHS Employment Checks Standard - DBS and Barring Checks*, which is regularly updated and can be accessed at [www.nhsemployers.org](http://www.nhsemployers.org)
- 1.10 This Policy should be read alongside the following documents:
  - DBS & Employment Risks Procedure
  - DBS Guidance for Candidates

- Risk Assessment Guidance Note – Internal for Managers
- Recruitment Policy
- Disciplinary Policy
- Managing Capability Policy
- Data Protection Policy

- 1.11 This procedure has been implemented following consultation with the recognised Trade Unions and Joint Consultative Committee (JCC).
- 1.12 This procedure is not contractual and we may amend it at any time.
- 1.13 The most recent version of this document can be found on [QPulse]. If you print any part of this document and subsequently revisit it, it may not be the latest version and so you should always check.
- 1.14 Please help us to protect the environment by reducing the amount of paper that we print and viewing this document on screen.

## 2. Policy Purpose

- 2.1 This Policy is intended to assist candidates and Trust employees, agency workers, workers and volunteers to understand the importance of and requirements for DBS checks, and the process that the Trust will follow.
- 2.2 This Policy is intended to assist the HR Department, Recruitment Team and managers to:
- Understand the risks and implications of candidates commencing employment without having undergone a DBS check and the need to take steps to prevent this from happening;
  - Understand the Trust's internal procedure for addressing, dealing with and where possible, managing employment risks;
  - Understand the Trust's obligations towards ex-offenders and employees;
  - Understand the Data Protection Act issues associated with DBS Disclosures and risk assessments.

## 3. Scope

- 3.1 This policy applies to all applicants, employees, agency workers, workers and volunteers.
- 3.2 Agency staff and contractors will, where necessary, usually have appropriate checks conducted by an employment business or supplying agency, including a DBS check where appropriate to the role. The Trust will primarily only use providers registered on the CSS framework, since these providers have warranted to verify DBS check information. Service Level Agreements will require these organisations to perform such checks on behalf of the Trust,

however, the Recruitment Team must always be satisfied that checks have been performed. Should there be any doubt, the Recruitment Team must ensure that the Trust performs its own check prior to the agency worker/contractor commencing work.

- 3.3 Where it is not possible to use a provider registered on the CSS framework, the Recruitment Team will be responsible for performing these checks in the usual way and in accordance with the Recruitment and Selection Policy.

## 4. Roles & Responsibilities/Duties

The following section details the responsibilities of specific individuals and groups involved in compliance with this document.

### 4.1 Chief Executive

The Chief Executive is responsible for delegating responsibilities under this policy to suitably trained and competent staff.

### 4.2 Human Resources

The Head of Human Resources will assign a person to co-ordinate the efforts under this policy and to ensure wider consistency in the approach to criminal records and employment risks across the Trust. This person will be known as the DBS Lead.

HR will also provide support and advice to line managers and recruiting managers with any queries relating to this policy.

### 4.3 Line Managers / Recruiting Managers

Line managers and recruiting managers are required to comply with all aspects of this policy in their day to day management and recruitment of staff and volunteers. For further information, managers should refer to the Risk Assessment Guidance for Managers.

### 4.4 Employees, Workers and Volunteers

Individual employees, agency workers, bank workers and volunteers are responsible for complying with reasonable requests by managers and HR in relation to this policy. Failure to do so may result in an offer being withdrawn, or in dismissal.

## 5. Key Principles

### 5.1 The Trusts' approach

The Trust's Employment Risk Policy sets out its approach to:

- Ex-offenders (protected by the Rehabilitation of Offenders Act 1974);
- Applicants or employees who have not been prosecuted and so do not have a criminal record to disclose, but who may be subject to a criminal or other investigation or may be in the process of being charged or convicted;
- Applicants or employees who become a risk to the Trust (for example, if the Trust becomes aware of information that may suggest a person has a propensity to be violent or if health information, such as alcohol or drug dependency, is disclosed).

## 5.2 Ex-offenders

The Code of Practice published under section 122 of the Police Act 1997 provides that all registered bodies must treat DBS applicants who have a criminal record fairly and not discriminate automatically because of a conviction or other information revealed.

The Rehabilitation of Offenders Act 1974 provides for the general principle that most spent convictions do not need to be disclosed to an employer. The exception to this is where an individual is applying for, or is employed in, a category of occupations that appear in the Exceptions Order to the Rehabilitation of Offenders Act. One of those categories is those who work with children, provide care services to vulnerable adults or who provide health services. Most of the roles within the Trust will fall into this category and therefore the general principle does not apply and spent convictions will need to be disclosed for the Trust's consideration.

An application for a DBS check should only be submitted to DBS after a thorough risk assessment has identified that it is both proportionate and relevant to the post. For those roles where a DBS check is necessary, the Trust's application forms, job adverts and recruitment briefs must contain a statement that an application for a DBS certificate must be made in the event of the individual being offered the position.

## 5.3 When a member of staff is charged with an offence or convicted of an offence

### Employees

Employees who are working under a contract of employment and are the subject of a criminal investigation, or are subsequently charged with an offence or convicted of an offence are likely to pose a risk to the Trust and may be unfit to continue to work for us.

Employees are required to inform the Trust immediately of any activity falling within this section of the policy. Failure to do so promptly or at all will be treated as gross misconduct that will be dealt with under the Trust's Disciplinary Policy.

The Trust is committed to the fair and equal treatment of all of its employees and will ensure that a full fact-finding investigation is carried out.

A risk assessment will need to be conducted in order to assess the level of risk and whether it can be managed. Managers should refer to the Guidance Note for Managers for further detail.

Where a risk cannot be managed, the Trust will seek to agree a course of action with an employee and the employee will be expected to co-operate. Ultimately, where the employment cannot continue, an employee may be dismissed by reason of gross misconduct, capability or some other substantial reason.

#### Agency workers, bank workers, contractors and volunteers

These individuals are required to immediately and promptly inform both their employment business (if there is one) and the person that they report to within the Trust of any activity falling within this section of the policy.

In partnership with the Employment Business, the Trust will investigate the situation and carry out a risk assessment. The Trust reserves the right to terminate an assignment or contract in connection with an unsatisfactory risk assessment at any time.

The Trust has an obligation to make safeguarding referrals to the DBS and to professional bodies in the event of any concern about an agency worker, worker, contractor or volunteer in the same way as it does for employees. For this reason, the Trust will always fact-find and investigate any activity arising under this section of the Policy and the individual under investigation will be expected to co-operate.

The Trust will co-operate with the Employment Business to provide all information necessary to enable the Employment Business to conduct a disciplinary investigation to assess whether a LADO, safeguarding or DBS referral needs to be made. The Trust will follow up with the Employment Business to ascertain the outcome thereafter.

### **5.4 General - Risk Management**

Where an individual is, or becomes a risk to, their profession and/or to the Trust or themselves or others, the Trust will fact-find, investigate, perform a risk assessment and make recommendations / take action in accordance with this policy.

### **5.5 Failure to agree to a DBS check and refusal to participate in a fact-finding, investigation or risk assessment**

Refusal or failure to co-operate or participate in a DBS check, fact-finding, investigation or risk assessment is likely to result in the Trust drawing adverse inferences from the refusal or failure.

Refusal or failure in respect of this section of the Policy will disqualify a candidate from appointment and in the case of employees, will lead to disciplinary action up to and including dismissal.

The Trust will arrange to meet with any agency worker, worker, contractor or volunteer who refuses to co-operate and ultimately, may refuse to offer or may terminate a placement.

Where an individual refuses or fails to co-operate, a referral will always be made to the DBS. This measure is designed to ensure a joined-up approach between NHS and other organisations that are involved in the provision of Regulated Activity and is designed to limit the risk to children and vulnerable adults.

## **5.6 Providing false, inaccurate or misleading information**

Where an individual has provided false, inaccurate or misleading information relevant to their position, this is likely to disqualify them from appointment, or lead to disciplinary action.

## **5.7 Failure to disclose a criminal record during recruitment or on request**

Where an individual has failed to disclose a criminal record, this may:

- disqualify them from appointment;
- lead to disciplinary action being taken against employees;
- result in the termination of an assignment (in the case of agency or bank workers);
- lead to a worker being barred from engaging in future work with the Trust.

When an employee fails to disclose a criminal record, the Trust will treat the act as an act of gross misconduct, giving rise to disciplinary action that could lead to dismissal from employment, referral to a relevant professional body and referral to the Disclosure and Barring Service for review.

## **5.8 Data Protection**

The Trust is required to maintain the confidentiality of data relating to criminal records and DBS checks. The data will be processed fairly and lawfully in accordance with the Data Protection Act Principles.

It is an offence punishable by fine or imprisonment to pass information detailed on a DBS certificate, or other sensitive information, to anyone who is not authorised to receive it.

The Trust takes its obligations very seriously and has a Data Protection Policy, which must be adhered to at all times. The Trust will ensure that the HR Department, Recruitment Team and line managers are sufficiently trained to understand their responsibilities in respect of data protection.

The Trust will take disciplinary action against any employee who unlawfully obtains or misuses sensitive information with which this policy is concerned.

The HR Department can provide further guidance on compliance with the Data Protection Act. The Information Governance team is able to provide support and guidance to the Directors of the Trust on compliance.

## **5.9 Eligibility for criminal record checks**

Where a role is included on the *Rehabilitation of Offenders Act 1974 Exceptions (Order) 1975, as amended in 2013*, the Trust is entitled to insist that an individual applies for a DBS check from the Disclosure and Barring Service to include spent convictions. The Trust will request an appropriate level of criminal record check, in line with current legislation and guidance. A full list of roles eligible for checks can be found at Appendix A, along with the appropriate level of check.

This list is monitored by the DBS Lead and any newly created, or amended, positions should be referred to the DBS lead for agreement on the level of DBS check required.

Where appropriate, guidance on the eligibility for a DBS check can be sought from the Head of HR, who will seek guidance and clarification from the Disclosure and Barring Service as necessary.

## **6. Levels of Criminal Record Check**

### **6.1 Standard**

A Standard DBS check will provide details of an individual's convictions, cautions, reprimands or warnings recorded on police central records and includes both 'spent' and 'unspent' convictions.

To be eligible for a Standard DBS check, the position must be included in the Rehabilitation of Offenders Act (ROA) 1974 (Exceptions) Order 1975.

### **6.2 Enhanced**

An Enhanced DBS check will provide the same details as a standard check, together with any information held locally by police forces that it is reasonably considered might be relevant to the post applied for

To be eligible for an enhanced level DBS certificate, the position must be included in both the ROA Exceptions Order and in the Police Act 1997 (Criminal Records) regulations.

### **6.3 Enhanced with Barred List Check**

An Enhanced DBS with barred list check (Adults and Children) will provide the same details as an Enhanced check and will also check to see if the individual is barred from working with both vulnerable groups.

To be eligible to request a check of the children's or adults' barred lists, the position must be eligible for an enhanced level DBS certificate as above **and** be specifically listed in the Police Act 1997 (Criminal Records) regulations as able to check the appropriate barred list(s).

## **7. Applications for a Criminal Record Check - Procedure**

### **7.1 Notification of eligibility**

All applicants to the Trust, whether internal, external, paid or voluntary will be notified if they are applying for a role which requires them to have a DBS check and the level of check associated with the role.

This will be notified to them at the application stage, or in any paper application packs that are issued.

### **7.2 New employees**

New employees will be required to complete an application for a DBS check when they are made a conditional offer of employment. It is a condition of this offer that this check is returned to the satisfaction of the Trust.

The recruitment team will process these checks. Please refer to the Trust's Recruitment and Selection Policy and the DBS Check Procedure for more information.

### **7.3 Current employees applying for a new role**

Current employees will be required to complete an application for a DBS check when they are made a conditional offer for their new role, for example, secondment opportunities.

The Recruitment Team will process these checks, please refer to the Criminal Records and Employment Risks Procedure for more information.

### **7.4 Rolling checks – every three years**

Current employees and volunteers who are working in a role which requires them to have a DBS check will be required to apply for a new DBS check every three years.

The HR Administration Team will process these checks for employees. Checks for volunteers will be processed by the volunteer team. Please refer to the DBS and Employment Risks Procedure for more information.

### **7.5 Voluntary roles - for existing Trust employees within the Trust considering volunteering**

Voluntary roles within the Trust will require staff to make an application for a DBS check. By way of example and without limitation, this includes roles such as Family Liaison Officers (FLOs) and Hospital Ambulance Liaison Officers (HALOs). A full list of roles is attached at Appendix A.

Staff will be informed of this requirement when they sign up to the volunteer opportunity, and the level at which the check will be conducted.

The HR Administration Team will process these checks.

### **7.6 Voluntary roles – external candidates applying to volunteer with the Trust**

In the same way as employees, volunteers will be informed of any requirement to complete an application for a DBS check when in the recruitment stage. These roles include (by way of example and without limitation) Volunteer Car Driver, Community First Responder and Volunteer Porter roles. A full list of roles is attached at Appendix A.

The Volunteer Team will process these checks as part of the volunteer recruitment process.

### **7.7 Agency to permanent transfers**

Agency workers who transfer to employment with the Trust will not usually need a further DBS check providing:

- The initial check was carried out for the purpose of working for the Trust;
- The initial check was carried out at the relevant level for the role they are moving into;
- There has been no break in attendance (other than rest periods and any annual leave).

Where these conditions cannot be satisfied, a DBS check will be required.

We may at our absolute discretion require an agency worker to undergo a DBS check, where the last check was performed by a third party external to the Trust.

### **7.8 Additional / Ad-hoc requirements for checks**

Any other requirement for DBS checks should be discussed with the Head of HR in good time before roles are advertised / appointments are made, in accordance with the business case and timescales for the creation of a new role.

## 8. Overseas Criminal Records Checks

### 8.1 Circumstances

Where staff have only recently moved to the UK, or have lived outside of the UK for 6 months or more within the last 5 years; there is a risk that they may have committed offences outside of the UK which will not be reported through a UK DBS check.

In these circumstances the Trust will ask the individual concerned to provide a police certificate, with translation if required, covering the period they were overseas.

### 8.2 Obtaining an overseas DBS check

If the individual does not hold a relevant police certificate already, these can often be obtained from the Embassy in the UK of the country concerned.

The Trust will provide a supporting letter to be used in conjunction with the application for the overseas police check in these circumstances.

### 8.3 Responsibility for compliance

It will remain the responsibility of the individual concerned to provide the overseas police certificate, and translation if necessary, to the Trust in a timely manner. Delays will result in the individual's start date being postponed.

### 8.4 Costs

The Trust will reimburse the costs of any overseas DBS checks that are required. This will only be on the production of a receipt or invoice marked as paid, and on commencement of employment.

Where the police certificate reveals information that was not previously revealed to the Trust, or where this information is unacceptable to the Trust, no reimbursement will be made.

### 8.5 Guidance for Candidates

Guidance for candidates on overseas DBS checks can be found at Appendix C and is available to candidates at the application stage

## 9. Starting Work Before Return Of A Criminal Record Check

### 9.1 Acceptable Circumstances

The Trust recognise that there may occasionally be a need for staff to commence an operational induction training programme prior to receiving a DBS check back from the DBS.

In this situation, the Trust will consider allowing an applicant to commence employment for the period of the training programme on a fixed term contract.

This will be the only situation in which the Trust will consider starting an employee or volunteer prior to receiving the result of a DBS check.

## **9.2 Interim Risk Assessment**

Starting work prior to the return of a DBS check will depend on the outcome of an Interim Risk Assessment, which will be completed by the recruiting manager and an HR representative.

The interim risk assessment form can be found at Appendix D.

## **9.3 Delayed result from a DBS check**

If the result of a DBS check is still pending after a training programme, the employee will not be offered a permanent contract until the check has been obtained to the Trust's satisfaction. This may result in a break in service between the expiry of the fixed term contract and the start of the permanent contract.

## **9.4 Non-patient facing activities**

Employees may start their employment in non-patient facing activities prior to their DBS check being returned to the satisfaction of the Trust. Employees must note that their continuing employment is subject to the satisfactory return of their DBS check.

If there are any discrepancies whatsoever between the information previously disclosed (and recorded on the Interim Criminal Record Risk Assessment Form) and the information contained on the DBS certificate, then continuing employment will be at risk, subject to a fact-finding, investigation and risk assessment.

# **10. Certificates Containing Information**

## **10.1 Risk Assessment**

The Trust will give due consideration to criminal record information that it receives in line with the DBS Code of Practice and with regard to the appropriate limitation of risk to patients, staff and property.

In order to do this fairly and equitably across the organisation, the Trust has a clear Criminal Record Risk Assessment procedure which is detailed separately to this policy.

Individuals who have a criminal record (whether spent or unspent) and who are the subject of a criminal investigation, charge, conviction or who pose any other risk will be subject to the Trust's risk assessment process.

Risk assessment outcomes which are ranked as 'Low' will be agreed and logged and monitored by the DBS lead. 'Medium' risk and 'High' risk outcomes will be referred to a panel for consideration.

The DBS Lead will monitor outcomes to ensure fairness and consistency across the Trust.

## **10.2 Driving Convictions**

Where information is relevant that is concerned with driving convictions, including those for driving under the influence of drink or drugs, and the individual is required to drive as part of their role, the Trust will take the appropriate rehabilitation period into account within the risk assessment process.

Any driving related convictions which are considered to be unspent at the time of the DBS check will lead to the withdrawal of an offer of employment or the termination of current employment, where there is a requirement to drive as part of the role.

Any driving related convictions which are considered to be spent at the time of the DBS check will be considered as with any other conviction, in line with the risk assessment process.

Currently there is a difference in the legal limit for driving under the influence of alcohol between Scotland and the rest of the UK. It is possible that a conviction could be gained by an individual whilst in Scotland, where the same act in England would not result in a conviction. In this situation, discretion may be applied by the Trust, through the risk assessment process.

## **10.3 Unacceptable Convictions**

There are some convictions (listed below) which will always be unacceptable to the Trust and that will be a bar to appointment or continuing employment. They are:

- Child pornography
- Sexual misconduct
- Physical abuse
- Supply of illegal drugs
- Serious violent offences, where the victim is intentionally stabbed, punched, kicked, etc. or threatened with similar violence whether or not there is any injury
- Offences as an adult which result in a custodial sentence

## **10.4 Juvenile Criminal Records**

It is important that the Trust gives particular consideration to criminal records that were received by individuals when they were juveniles. This information will be clearly flagged on the criminal record certificate due to the fact that juveniles are dealt with by a separate criminal justice process.

The Trust undertakes to consider all individuals with juvenile criminal records regardless of the offence, in line with the risk assessment process.

## **10.5 Termination of Employment (Employees)**

Where the outcome of a risk assessment concludes that employment should not continue by reason of the risk itself, a failure to disclose a conviction or a refusal or failure to co-operate, then there may be grounds to terminate the employment relationship.

This could be on the grounds of:

- (1) Capability or Statutory Restriction –the Trust can no longer employ the person because they do not satisfy the legislative requirements of the role or they have lost their professional registration, resulting in them being unable to perform the terms of their employment;
- (2) Gross misconduct – dishonesty, misrepresentation, deception or failure to disclose.

In any such situation, Line Managers should take advice from HR.

Termination of employment is likely to result in a referral to a professional body and the Disclosure and Barring Service.

## **11. Recording Of Criminal Records Information**

### **11.1 DBS Code of Practice**

The Trust will, at all times, comply with the DBS Code of Practice in relation to the storage, handling and retention of DBS certificate information, and any other criminal record information which is made available to the Trust.

### **11.2 Recording information relating to DBS checks**

Basic information regarding a check being carried out will be recorded electronically on the Electronic Staff Record (ESR) system for all staff and volunteers. This will include:

- Name of subject
- Date of the disclosure
- Type of disclosure
- The post title in question
- The unique reference number issued by the DBS
- The recruitment and selection decision taken

For the purposes of administering the DBS checking process, certain information will be also stored on a secure electronic log.

Agency workers will have a relevant confirmation letter from an employment business confirming that the appropriate checks have been carried out at the correct level for their role with the Trust, and the result of that check (in accordance with the requirements of the CCS framework). This will be recorded on their recruitment file.

### 11.3 Recording Risk Assessment Information

The Trust will keep a secure electronic log of all risk assessments undertaken and the outcome of those risk assessments.

Where the risk assessment results in a decision to recruit or to confirm employment, the risk assessment will be kept securely, separately from the HR file, for the duration of employment.

Where the risk assessment results in a decision to withdraw an offer, or to terminate employment, the risk assessment will be kept securely, separately from the HR file, until such time as any disputes are resolved.

### 11.4 Retention of DBS Certificates

With due regard to the DBS Code of Practice, the Trust will not retain DBS certificates or copies of these for any longer than is necessary to undertake the risk assessment and decision making process.

## 12. Glossary Of Terms

This policy uses the following terms:

DBS	Disclosure & Barring Service
LADO	Local Authority Designated Officer

## 13. Equality and Diversity

- 13.1 The Trust is committed to ensuring that, as far as is reasonably practicable, the way we provide services to the public and the way we treat our staff reflects their individual needs and does not discriminate against individuals or groups on the grounds of any protected characteristic (Equality Act 2010).
- 13.2 An equality analysis has been undertaken for this policy, in accordance with the internal Equality Policy and the Equality Act (2010).
- 13.3 Details of this assessment are stored within the central register for Equality Analysis Assessments maintained within the Equality and Diversity team within the Communications and Engagement department.

## 14. Monitoring

Monitoring Criterion	Response
Who will perform the monitoring?	Head of HR
What are you monitoring?	Compliance with Policy
When will the monitoring be performed?	Monthly
How are you going to monitor?	Fitness to Practice Metrics
What will happen if any shortfalls are identified?	Report to HR Strategy Group
Where will the results of the monitoring be reported?	HR Strategy Group
How will the resulting action plan be progressed and monitored?	HR Strategy Group
How will learning take place?	Shared through HR team briefs

## 15. References

This document refers to the following guidance, including national and international standards:

<https://www.gov.uk/government/publications/relevant-offences-list-for-england-and-wales>

<https://www.gov.uk/government/publications/dbs-referrals-factsheets>

## 16. Associated Documentation

This document refers to the following Trust policies and procedures:

Disciplinary Policy (POL-WOD-HR-7)

Recruitment Policy (POL-WOD-RE-2)

## 17. Appendices

### Appendix A - Roles for which a DBS check is required

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
A&E Divisional Clinical Development Lead	340 Workforce & Organisational Development	340 Clinical Education & Development Dept	Enhanced	3	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Acting Team Leader	340 Operations Directorate	340 Contact Centre Operations (Call Taking)	Enhanced	4	0	E	Resilience - Direct patient / carer / family engagement. Access to clinical information. Safeguarding Vulnerable Groups Act 2006 applies.	
Advanced Practice Nurse	340 Strategy & Performance Directorate	340 Integrated Care & Transport	Enhanced	3	0	E	Regulated activity relating to children and adults	N/A
Advanced Practice Paramedic	340 Strategy & Performance Directorate	340 Integrated Care & Transport	Enhanced	8	0	E	Regulated activity relating to children and adults	N/A
Advanced Technician	340 Operations Directorate	341 Operations Directorate	Enhanced	72	0	E	Regulated activity relating to children and adults	N/A
Ambulance Car Service Volunteer Driver (ACS)	340 Operations Directorate	340 PTS Ambulance Car Service (Voluntary)	Enhanced	185	3	E	Regulated activity relating to children and adults	N/A

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
Ambulance Care Assistant (B2)	340 Operations Directorate	341 Operations Directorate	Enhanced	167	2	E	Regulated activity relating to children and adults	N/A
Ambulance Care Assistant (B3)	340 Operations Directorate	341 Operations Directorate	Enhanced	248	0	E	Regulated activity relating to children and adults	
Ambulance Paramedic	340 Operations Directorate	341 Operations Directorate	Enhanced	454	0	E	Regulated activity relating to children and adults	N/A
Call Operator	340 Operations Directorate	340 Contact Centre Operations (Call Taking)	Enhanced	298	0	E	Direct patient / carer / family engagement. Access to clinical information. Safeguarding Vulnerable Groups Act 2006 applies.	Regulated activity relating to children and adults
CARU Doctor	340 Directorate of Clinical Care & Patient Safety	340 Trauma Centre	Enhanced	2	0	E	Regulated activity relating to children and adults	N/A
Chairman	340 Chief Executive Directorate	340 Trust Board Members	Standard	1	1	N	Fit and proper person test applies.	Board level post
Chief Executive	340 Chief Executive Directorate	340 Chief Executive Department	Enhanced	1	1	N	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Clinical Education and Development Officer	340 Workforce & Organisational Development	340 Clinical Education & Development Dept	Enhanced	5	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure	Regulated activity relating to children and adults, if role requires clinical qualification to keep

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
							concerns	up registration - yes
Clinical Practice Manager	340 Directorate of Clinical Care & Patient Safety	340 Clinical Quality & Development	Enhanced	2	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Clinical Services Manager	340 Operations Directorate	340 GP OOH Management	Enhanced	1	0	E		
Clinical Support Officer	340 Directorate of Clinical Care & Patient Safety	340 Clinical Quality & Development	Enhanced	0	1	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Commercial First Aid Trainer	340 Operations Directorate	340 Commercial Training Dept	Standard	1	0	N	Direct patient / carer / family engagement. Access to clinical information. Safeguarding Vulnerable Groups Act 2006 applies.	Regulated activity relating to children and adults
Community Paramedic	340 Operations Directorate	341 Operations Directorate	Enhanced	15	0	E	Regulated activity relating to children and adults	N/A
Community Resuscitation Officer	340 Workforce & Organisational Development	340 BHF Chain of Survival	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
Community Resuscitation Training Officer	340 Workforce & Organisational Development	340 BHF Chain of Survival	Enhanced	0	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Consultant Paramedic	340 Directorate of Clinical Care & Patient Safety	340 Trauma Centre	Enhanced	1	0	E	Regulated activity relating to children and adults	N/A
Quality & Performance Officer	340 Directorate of Clinical Care & Patient Safety	340 Clinical Quality & Development	Enhanced	6	3	N		Indirect information to patient details. NHS Pathways Gold Standard requires auditors to take calls. As we move to the Gold Standard and capacity this would be the case. Call auditors review in detail calls, every day and due to the frequency and nature of access, safeguarding applies.
Contact Centre Team Leader	340 Operations Directorate	340 Contact Centres Management	Enhanced	24	0	E	Resilience - Direct patient / carer / family engagement. Access to clinical information. Safeguarding Vulnerable Groups Act 2006 applies.	May also take calls. Safeguarding applies.

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
Contact Centre Team Leader (Development)	340 Operations Directorate	340 Contact Centres Management	Enhanced	2	0	E	Resilience - Direct patient / carer / family engagement. Access to clinical information. Safeguarding Vulnerable Groups Act 2006 applies.	May also take calls. Safeguarding applies.
Customer Care Manager	340 Operations Directorate	340 Customer Care Team	Enhanced	1	0	E	Person in this role responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Customer Care Officer	340 Operations Directorate	340 Customer Care Team	Enhanced	4	0	E	Person in this role responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Deputy Emergency Planning & Resilience Manager	340 Operations Directorate	340 Emergency Planning Department	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Director of Clinical Care & Patient Safety	340 Directorate of Clinical Care & Patient Safety	340 Clinical Care & Patient Safety Management	Enhanced	1	0	E	Executive Director - Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Director of Finance & Resources	340 Finance & Resources Directorate	340 Finance & Resources Directorate	Standard	1	0	N	Executive Director - Person in this role is an on call officer and responds occasionally during	Board level post

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
							demand/pressure concerns	
Director of Strategy, transformatio and Workforce	340 Strategy & Performance Directorate	340 Strategy & Performance Directorate	Standard	1	0	N		
Emergency Care Assistant	340 Operations Directorate	341 Operations Directorate	Enhanced	329	0	E	Regulated activity relating to children and adults	N/A
Emergency Care Business Manager	340 Operations Directorate	340 Emergency Care Management	Enhanced	2	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Emergency Care Clinical Manager	340 Operations Directorate	341 Operations Directorate	Enhanced	53	0	E	Regulated activity relating to children and adults	N/A
Emergency Care Technician	340 Operations Directorate	341 Operations Directorate	Enhanced	56	0	E	Regulated activity relating to children and adults	N/A
Emergency Planning Officer	340 Operations Directorate	340 Emergency Planning Department	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
External Secondment - NARU	340 Operations Directorate	340 HART	Enhanced	1	0	E	Person in this role responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
External Secondment	340 Operations	340 HART	Enhanced	1	0	E	Person in this role responds occasionally	Regulated activity relating to children

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
National HART Trainer	Directorate						during demand/pressure concerns	and adults
External Secondment- Strategic Head of Resilience	340 Operations Directorate	340 Emergency Planning Department	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
PTS Operations Manager (South)	340 Operations Directorate	340 PTS Management Dept	Enhanced	1	0	E	Direct Line Management of those carrying out a regulated activity.	N/A
First Responder/Lifeline Co-ordinator	340 Operations Directorate	340 Co-Responder Scheme (LifeLink)	Enhanced	1	0	E	Regulated activity relating to children and adults	Emergency and urgent care of Patients. Direct engagement, patient handling, dignity and care. Detailed clinical information. Safeguarding applies. Emergency and urgent care of Patients. Direct engagement, patient handling, dignity and care. Detailed clinical information. Safeguarding applies.
HART & Resilience Manager	340 Operations Directorate	340 HART	Enhanced	1	0	E	Regulated activity relating to children and adults	N/A

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
HART Paramedic	340 Operations Directorate	340 HART	Enhanced	29	0	E	Regulated activity relating to children and adults	N/A
HART Team Educator	340 Operations Directorate	340 HART	Enhanced	5	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
HART Team Leader - Paramedic	340 Operations Directorate	340 HART	Enhanced	5	0	E	Regulated activity relating to children and adults	N/A
HART Divisional Educaion Lead	340 Operations Directorate	340 HART	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	
Head of Clinical Care & Patient Safety	340 Directorate of Clinical Care & Patient Safety	340 Clinical Care & Patient Safety Management	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Head of Clinical Education & Development	340 Workforce & Organisational Development	340 Clinical Education & Development Dept	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Head of Emergency Care (Central)	340 Operations Directorate	340 Central - ECS Management	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure	Regulated activity relating to children and adults

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
							concerns	
Head of Emergency Care (North)	340 Operations Directorate	340 North - ECS Management	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Head of Emergency Care (South)	340 Operations Directorate	340 South - ECS Management	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Head of HR	340 Workforce & Organisational Development		Standard	1	0	N	Fit and proper person test applies.	Advising Board
Head of Resilience and Specialist Operations	340 Operations Directorate	340 HART	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Medical Director	340 Medical Directorate	340 Medical Directorate Management	Standard	1	0	N	Fit and proper person test applies.	Board level post
Non Executive Director	340 Chief Executive Directorate	340 Trust Board Members	Standard	5	0	E	Fit and proper person test applies.	Board level post
Occupational Health Manager	340 Workforce & Organisational Development	340 Occupational Health Dept	Enhanced	1	1	N	Yes. Treats adult patients and works providing health/personal care.	Vulnerable Adults only

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
Occupational Health Nurse Advisor	340 Workforce & Organisational Development	340 Occupational Health Dept	Enhanced	0	0	N	Yes. Treats adult patients and works providing health/personal care.	Vulnerable Adults only
Occupational Health Nurse Specialist	340 Workforce & Organisational Development	340 Occupational Health Dept	Enhanced	2	1	N	Yes. Treats adult patients and works providing health/personal care.	Vulnerable Adults only
Operations Manager (Central)	340 Operations Directorate	340 Central - ECS Management	Enhanced	3	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Operations Manager (North)	340 Operations Directorate	340 North - ECS Management	Enhanced	3	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Operations Manager (South)	340 Operations Directorate	340 South - ECS Management	Enhanced	3	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Patient Experience Manager	340 Directorate of Clinical Care & Patient Safety	340 PATIENT EXPERIENCE	Enhanced	1	0	E	Regulated activity relating to children and adults	N/A
Patient Support Clinician	340 Operations Directorate	340 Contact Centre Clinical Hub	Enhanced	4	0	E	Direct patient / carer / family engagement. Access to clinical information.	Regulated activity relating to children and adults

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
							Safeguarding Vulnerable Groups Act 2006 applies.	
Patient Support Clinician (Paramedic)	340 Operations Directorate	340 Contact Centre Clinical Hub	Enhanced	14	0	E	Direct patient / carer / family engagement. Access to clinical information. Safeguarding Vulnerable Groups Act 2006 applies.	Regulated activity relating to children and adults
PTS & DUCT Team Manager (South)	340 Operations Directorate	340 Fishburn PTS	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
PTS Apprentice	340 Operations Directorate	341 Operations Directorate	Enhanced	14	0	E	Regulated activity relating to children and adults	N/A
PTS Operations Manager (Central)	340 Operations Directorate	340 PTS Management Dept	Enhanced	1	0	E	Direct Line Management of those carrying out a regulated activity.	N/A
PTS Operations Manager (North)	340 Operations Directorate	340 PTS Management Dept	Enhanced	1	0	E	Direct Line Management of those carrying out a regulated activity.	N/A
PTS Team Manager	340 Operations Directorate	340 Pallion PTS	Enhanced	14	0	E	Yes. Conveying and regular one working providing health/personal care. Direct Line Management.	N/A

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
Qualified Paramedic	340 Operations Directorate	340 Operational Trainees - Emergency Care	Enhanced	0	0	E	Regulated activity relating to children and adults	N/A
Research Clinician	340 Directorate of Clinical Care & Patient Safety	340 Clinical Research & Development	Enhanced	2	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Risk Manager/LSMS	340 Directorate of Clinical Care & Patient Safety	340 Risk & Claims Management Dept	Standard	1	1	N	Level of contact with patients/ complaints	
Safeguarding Lead	340 Directorate of Clinical Care & Patient Safety	340 Clinical Quality & Development	Enhanced	2	1	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults
Section Manager	340 Operations Directorate	340 Contact Centres Management	Enhanced	5	3	N	Resilience - Direct patient / carer / family engagement. Access to clinical information. Safeguarding Vulnerable Groups Act 2006 applies.	May also take calls. Safeguarding applies.
Senior Investigating Officer	340 Directorate of Clinical Care & Patient Safety	340 PATIENT EXPERIENCE	Enhanced	1	0	E	?	

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
Senior Paramedic - Trauma	340 Directorate of Clinical Care & Patient Safety	340 Trauma Centre	Enhanced	3	0	E	Regulated activity relating to children and adults	N/A
Student Paramedic Year 1	340 Operations Directorate	Various	Enhanced	65	0	E	Regulated activity relating to children and adults	N/A
Student Paramedic Year 2	341 Operations Directorate	Various	Enhanced	32	1	E	Regulated activity relating to children and adults	N/A
Team Leader	340 Operations Directorate	340 Swalwell ECS	Enhanced	1	1	E	Regulated activity relating to children and adults	N/A
Trainee - Ambulance Care Assistant (B2)	340 Operations Directorate	340 Operational Trainees PTS	Enhanced	9	0	E	Regulated activity relating to children and adults	N/A
Trainee - Emergency Care Assistant	340 Operations Directorate	340 Operational Trainees - Emergency Care	Enhanced	24	0	E	Regulated activity relating to children and adults	N/A
Trainee - Emergency Care Technician	340 Operations Directorate	340 Operational Trainees - Emergency Care	Enhanced	2	0	E	Regulated activity relating to children and adults	N/A
Trial Co-ordinator	340 Directorate of Clinical Care & Patient Safety	340 Clinical Research & Development	Enhanced	1	0	E	Person in this role is an on call officer and responds occasionally during demand/pressure concerns	Regulated activity relating to children and adults

Employment Risk Policy

Position Title	Org L3	Organisation	Disclosure Type/Level	Headcount	DBS to be completed	Existing/ New	Details of position	DBS Assessment type
Trust Secretary	340 Chief Executive Directorate	340 Chief Executive Department	Standard	1	1	N	Fit and proper person test applies.	Board level post
Volunteer Porter	340 Operations Directorate	340 PTS Management Dept	Enhanced	40	0	E	Regulated activity relating to children and adults	N/A
				<b>2263</b>	<b>20</b>	<b>14</b>		

**Three types of checks**

1. *Standard = Some indirect contact with patient eg walking through a ward. Role does not require intervention with patient or their care*
2. *Enhanced = Roles on the exempt list*
3. *Enhanced with barred list check(s) = Roles undertaking regulated activity*

## Appendix B – Criminal Records Guidance for Candidates

### Introduction

The Trust is required to ensure that all employees and volunteers who work with patients are suitable to do so. As part of these pre-employment checks, and as part of a rolling process throughout employment with the Trust, employees and volunteers may be subject to a criminal record check at a level appropriate to the role. This check is conducted with the Disclosure and Barring Service (DBS).

Depending on the nature of the role and the contact with vulnerable groups, your criminal record check may also include a check of both the Adult and Children's Barred Lists, this will be confirmed in the advert for the role you are applying to.

It is important that candidates understand the level of check which will be carried out and therefore the information that they are required to disclose. Additional guidance for candidates can be found on the DBS website ([www.gov.uk/dbs](http://www.gov.uk/dbs)) or from NACRO the crime reduction charity ([www.nacro.org.uk](http://www.nacro.org.uk)).

### Checking Process

If you are not registered with the DBS Update Service, we will ask you to provide us with a set of documents to prove your identity and to complete a DBS application form online.

If you are already registered with the DBS Update Service, we will conduct a check on your criminal record against the records held by the DBS, we will also ask to see your current DBS certificate.

Please note that even if you are registered with the DBS Update Service, we will conduct a check on your criminal record if:

- You have disclosed that you do have a criminal record
- A check of the DBS Update Service indicates that there is new conviction or caution information since the issue of the certificate.

### Approach to Criminal Records

the Trust commit to not unjustifiably discriminating against candidates with a criminal record, and to considering the circumstances of each candidate as appropriate.

It should be noted that the following offences would, however, be considered unacceptable to the Trust:

- Child pornography
- Sexual misconduct
- Physical abuse
- Supply of illegal drugs

- Serious violent offences, where the victim is intentionally stabbed, punched, kicked, etc. or threatened with similar violence whether or not there is any injury
- Offences *as an adult* which result in a custodial sentence

#### **A note on Juvenile Criminal Records**

the Trust will give particular consideration to criminal records which are received by individuals when they were juveniles and undertake to consider all individuals with juvenile criminal records regardless of the offence, in line with the risk assessment process.

The process that we follow in assessing whether an individual with any of the above is suitable is to consider, through a face to face risk assessment;

- The relevance of the offence(s) to the post applied for
- The seriousness of any offence(s)
- The length of time since the offence(s)
- Whether the individual has a pattern of offending behaviour
- Whether the individual's circumstances have changed since the offending behaviour
- The circumstances surrounding the offence(s)
- The risk to the Trust and service users

You should be aware that if any criminal record information is not disclosed or you fail to provide the Trust with full information about the nature or extent of the above, your offer of employment may be withdrawn or, if you have commenced employment already, your employment may be terminated.

#### **DBS Code of Practice**

the Trust is committed to abiding by the DBS Code of Practice and a copy of this is available from the HR Helpdesk on request.

[HR.Helpdesk@the.Trust.nhs.uk](mailto:HR.Helpdesk@the.Trust.nhs.uk)

0191 430 2165

## **Appendix C – Overseas Criminal Records Guidance for Candidates**

We are required to complete a Criminal Record Check for all employees prior to starting work at the Trust.

Where staff have only recently moved to the UK, or have lived overseas for a substantial period of time there is a risk that they may have committed offences outside of the UK which will not be reported on a DBS check.

In these circumstances the Trust will ask the individual concerned to provide a police certificate, with translation if required, covering the period they were overseas.

If the person does not hold a relevant police certificate already, these can often be obtained from the Embassy in the UK of the country concerned.

The Trust will provide a supporting letter to be used in conjunction with the application for the overseas police check in these circumstances.

However, ultimately, it will remain the responsibility of the individual concerned to provide the overseas police certificate to NEAS.

The cost of this check will be covered by the individual, however once in post with the Trust, this cost will be reimbursed on production of a receipt or invoice for payment.

Any questions about this should be directed to Human Resources.

**Appendix D - Review Process Checklist – Author to complete**

Compliance Checks	Author to Complete			
	Yes/ No	Details	Comments	Action Needed
Has the document been consulted upon? (please detail stakeholders that have been consulted)	Yes			
Has the document been agreed by a sub group of the relevant Approval Committee? (if so, please specify the subgroup(s) here and confirm the date the document was endorsed by the group.	Yes			
Approval: JCC (if appropriate)?				
Why has this document been amended? i.e. full review, particular section/new etc.	Yes	Added links and reference numbers		
Has table of revisions been completed?	Yes			
Has the document author clearly identified?	Yes			
Has the document sponsor been identified and consulted with	Yes			
Has the date of the Ratifying Committee meeting to which the document will be submitted been specified?	Yes			
Has the Ratifying Committee been correctly identified?	Yes			
Has the Originating Directorate been notified?	Yes			
Has the scope of the document been identified?	Yes			
Content: intended outcomes clearly described?	Yes			
Has the date the Document will next be reviewed been noted? (If less than the standard 3 years, please provide an explanation why)	Yes			
Has the monitoring table been correctly completed?	Yes			
Has the Equality Impact Screening been completed?	Yes			
If warranted from the above has the Equality Impact Assessment been completed?	Yes			
Has the financial implications been considered?	n/a			
Has the Document been assessed as to whether its circulation should be restricted/unrestricted? If so, the outcome of this assessment should be noted on the front sheet	Yes			
Does the policy need to be available to the public? If so once ratified Communication team need a copy	Yes			
Name a member from the subgroup to be present to respond to any questions if author unavailable	KF			

Date of Policy Review Group Submitted to	JCC Sub Group 20/10/15
Authors Name	K Forsyth
Authors Signature	<i>Karen Forsyth</i>

**Appendix E - Compliance Checklist – Policy Review Group**

Approving Sub Committee:	Policy Review Group to Complete		
Compliance Checks	Yes/No	Comments	Actions Needed
Has the front page document been completed fully?	Yes		
Has the author completed checklist? And has this been checked by the group?	Yes		
<b>Style and Format</b>			
Has the correct template been used?	Yes		
Procedural Documents must use the Arial font style bold text size 12	Yes		
Section and paragraph heading should be numbered and in bold.	Yes		
Is it the EIS and EIA if applicable the latest version?	Yes		
Is the title of the Document clear and unambiguous?	Yes		
Has the new version number been amended on the Control Sheet, and Footer of each section?	Yes		
Has the version control/revision table been updated?	Yes		
Has the Document type been identified? (Policy/Procedure?)	Yes		
<b>Explanation of Terms Used</b>			
Acronyms are first used with explanation.	Yes		
Glossary of Terms used if helpful to the procedural documents understanding.	Yes		
<b>Consultation &amp; Review Arrangements</b>			
Is it clearly apparent that the document has been consulted upon?	Yes		
Has the monitoring table been completed?	Yes		
If the monitoring of this document involves members of other teams or Health Groups, have they been informed?	Yes		
Has the name/job title of the Non Executive Chairman of the Approval Committee been correctly identified?	Yes		
<b>Associated documents and supporting references</b>			
Are there full references to other Trust Policies that the Policy refers to or is associated with.	Yes		
<b>Following satisfactory review by Policy Review Group</b>			
Has the ratification Committee been identified and is this the right committee?	Yes		
Is there timescales identified for monitoring and reporting to appropriate committee?	Yes		

Policy Review Group Outcome	Reviewed successful
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**Appendix F - Quality Team Checklist**

Quality Team Checklist	Yes/No	Comments
Document Control Sheet complete with signatures?	YES	
Table of revisions complete?	YES	
All footers and watermark updated?	YES	
Page numbers updated?	YES	
Review process checklist and compliance checklist complete?	YES	
Previous version of policy archived?	YES	
QPulse upload date complete?	YES	
Policy available to relevant staff groups?	YES	
Process completed: Quality Team	Date 10/08/2016	Signature P.McFarlane