Background checks in recruitment- Internal Preferred Candidates

Permanent support worker/practitioner to Relief

- If employee is existing TPS PVG member then no new PVG required. Please confirm with HR Dept.
- No reference required.
- If employed more than 2 years, new PEQ (fitness questionnaire) required.
- Start Date can be immediately offered, incorporating 2 week break in Service.
- In exceptional circumstances it may be agreed that for operational reasons that the 2 week break is not adhered to. This can only be agreed/authorised with an HR Advisor providing the start date in conjunction with an operations manager confirming authorisation and should not be the norm.

Relief support worker/practitioner to Permanent

- If employee is existing TPS PVG member then no new PVG required. Please confirm with HR Dept.
- Reference from Service Manager to be provided.
- If employed more than 2 years, new PEQ required.
- Start date to be offered after receipt of reference, incorporating 2 week break in Service.
- In exceptional circumstances it may be agreed that for operational reasons that the 2 week break is not adhered to. This can only be agreed/authorised with an HR Advisor providing the start date in conjunction with an operations manager confirming authorisation and should not be the norm.

PVG’s for Promoted Positions.

- For promoted posts with a different title a new PVG would need to be run. Advisor to risk assess in conjunction with operations manager whether internal applicant with a PVG can start in post before having a new PVG certificate back. Applicant must be an existing TPS PVG Member.

Job Titles

To avoid having to re-run checks for promotions, Support Worker PVG certificates/applications will read Support Worker/Practitioner and Relief Workers will be Relief Support Worker/Practitioner. This will mean the PVG is appropriate and valid for a range of similar regulated posts within TPS.

28/10/13 version 1
PROTECTION OF VULNERABLE GROUPS AND DISCLOSURES POLICY

POLICY STATEMENT

Turning Point Scotland, being responsible for the provision of services to people with addictions to alcohol and substances, mental health-related problems, issues related to homelessness and criminal justice, learning difficulties and physical disabilities, must be particularly careful to enquire into the character and background of applicants for appointments to posts which involve working with these vulnerable groups.

Prior to commencement of employment/undertaking casual or relief work or voluntary work, Turning Point Scotland are required either to establish the candidate's membership of the Protection of Vulnerable Groups Scheme (PVG Scheme) or to apply for an appropriate level of Criminal Records Disclosure certificate for all employees. No candidate will be permitted to start employment or voluntary work with Turning Point Scotland until there is receipt of a satisfactory PVG Membership or Disclosure Certificate.

All job applicants and volunteers are required to declare the existence of any convictions at the point of their initial application. If their application is to be progressed to an interview stage, an applicant who declares a criminal conviction will be required to complete a full Criminal History Declaration prior to their interview. Questioning regarding declarations is included in the Mandatory Questions to be asked of all candidates at interview.

All posts within Turning Point Scotland are subject to a Disclosure check at the very least; this includes the Chief Executive and all members of the Board of Directors.

In line with the Care Inspectorate requirements, Turning Point Scotland is also required to obtain a Scheme Membership Update or re-disclose in the following circumstances:

➢ All employees by the third anniversary of their original start date with Turning Point Scotland. This process must be repeated every three years thereafter.

➢ On commencement in a promoted/demoted capacity.

All PVG Membership and Disclosure Certificates are returned to the Human Resources Department of Turning Point Scotland. Where any caution/conviction/or other information is detailed on the returned Disclosure, this will immediately be forwarded to the Lead Signatory for further consideration. Appendix A details how the Lead Signatory will assess the relevance of criminal records.

The cost of initial registration as a member of the PVG Scheme will be met by the employee. Similarly the cost of obtaining a Scheme membership Update Certificate or Disclosure Certificate on appointment will be met by the employee. The mechanism for making the payment is that Turning Point Scotland will pay Disclosure Scotland directly and recoup the fee from the employee's first full monthly salary. Thereafter the cost of a re-check will be met by Turning Point Scotland. PVG Scheme membership is free of charge for people working on a voluntary basis.

Criminal convictions gained whilst employed with Turning Point Scotland should be disclosed immediately to the Service Manager. Failure to disclose criminal proceedings/convictions that arise during your employment could result in disciplinary action being taken against the employee, up to and including dismissal.

This Policy and its accompanying procedures must be followed at all times.

HR MANUAL March 2012
PVG SCHEME MEMBERSHIP

Where an employee who is to be deployed by Turning Point Scotland on work defined as being "regulated" by the terms of the PVG Act 2007 (as may be amended by legislation and guidance issued by the Scottish Government), Turning Point Scotland will in all circumstances obtain a copy of the individual's PVG Scheme Record, or where the individual is an existing member of the Scheme, a Scheme Record Update.

Regulated Work

Work is 'regulated work with adults' whether paid or unpaid if it involves one or more of the following activities as part of the normal duties:

- Caring for protected adults.
- Teaching, instructing, training or supervising protected adults.
- Being in sole charge of protected adults.
- Providing assistance, advice or guidance to a protected adult or particular protected adults which relates to physical or emotional well-being, education or training.
- Inspecting adult care services (including inspecting any premises used for the purposes of providing such services)

An individual may be doing regulated work with adults if they work in any of the following establishments (as part of their normal duties):

- A care home - meaning accommodation occupied mainly or exclusively by individuals aged 16 or over which is provided by an organisation carrying on a care home service.
- A residential establishment or accommodation occupied exclusively or mainly by individuals aged 16 or over which is provided by, or the provision of which is secured by a council under social work or mental health legislation.

One exception applies to positions in all these establishments, namely that such positions are not regulated work unless:

- doing anything permitted or required in connection with the position gives the person the opportunity to have unsupervised contact with protected adults
- any contact with protected adults, when the holder of the position is doing anything permitted or required in connection with the position, is more than incidental.

An individual is doing regulated work with adults at Turning Point Scotland if they hold a Trustee position i.e. are Non-Executive Directors of the Board.

An individual may be doing regulated work with adults if they are responsible for the day-to-day supervision or management of an individual doing regulated work through the activities the individual performs or the establishments in which the individual works.

HR MANUAL March 2012
See Appendix E for further specific information regarding the definitions which are relevant to determining whether a person will be undertaking regulated work.

Scheme Record Updates

Once an individual is a registered as a member of the PVG Scheme, their membership status requires to be confirmed on a three-yearly basis by the making of an application for a Scheme Record Update from Disclosure Scotland. It is important to note that a Scheme Record Update will only include any new information that has become available since the person was last checked. This could either mean that another agency has obtained the original registration information or that the person has a new conviction. Particular care must therefore be taken to ensure that risk assessments and decisions are made based on complete and not partial criminal histories.

Consideration for Listing

In instances when vetting or referral information indicates that a person may pose a risk to vulnerable groups, Disclosure Scotland will consider all the information available before deciding whether a person should be placed under consideration for listing on one of both of the barred lists. If a person is under consideration for listing, Disclosure Scotland will be able to obtain further information from other sources, such as employers or regulatory organisations.

While under consideration for listing, subject to a risk assessment being undertaken by the Senior Operations Manager, the person can commence work/continue to work with vulnerable groups pending a final decision by Disclosure Scotland.

Barring

In the event that the individual’s PVG Scheme Record indicates that they are barred from working with people in vulnerable groups, Turning Point Scotland recognises that it would be an offence under s35 of the PVG Act to employ or continue to employ them and will take all necessary steps to ensure compliance with the Act. In such circumstances, Turning Point Scotland undertakes to alert the appropriate authorities to the receipt of an application for employment by a barred person.

LEVELS OF DISCLOSURE

Three different levels of Disclosure exist. Due to the nature of the services provided by Turning Point Scotland, its staff are normally subject to an ‘Enhanced Disclosure’. This may however be varied on the advice of Disclosure Scotland.

See Appendix C for further specific information regarding the various levels of Disclosure.

Agency Workers

For those agency staff that will be required to work on a one-to-one capacity with service users, an Enhanced Disclosure will always be required. In such cases, no agency worker will be permitted to undertake any work within any Turning Point Scotland service unless they are in receipt of a satisfactory enhanced disclosure either applied for in person or through the agency. It will be a condition of any procurement arrangement with an agency that workers on agency placement will not be barred from regulated work and/or will have an appropriate level of Disclosure certificate.

The Service Manager will be responsible for ensuring that the agency complies with this requirement in respect of any agency worker deployed in their service. In case of any doubt, this should be referred to the Senior Operations Manager for final approval.
For all other agency staff that will not be required to work on a one-to-one capacity with service users, such as ancillary and administrative based posts, a Disclosure check will not normally be required. This is however at management discretion and an appropriate disclosure can be requested if deemed necessary.

Storing and disposing of Disclosure and PVG records

Turning Point Scotland generally and the HR Department in particular are aware that disclosure information in our possession must not retain such information for longer than it is required for the purposes for which it was obtained, and will at all times operate in compliance with the Data Protection Act 1998. Disclosure Certificates will normally only be retained until the date on which the recruitment or other relevant decision has been taken, or after the date on which any dispute about the accuracy of the disclosure information has been resolved. PVG disclosure records will normally be retained until an individual ceases to carry out regulated work for Turning Point Scotland.

PROCEDURE GUIDELINES

(1) For Candidates

All interviewees will be required to bring evidence of their personal ID, e.g. passport, driving license, utility bill etc with them to the interview. Their ID will be checked and copied by the person responsible for the administration of the interviews. This will also be regarded as being appropriate ID for the purpose of establishing PVG Membership status/Disclosure Application.

A Disclosure application form will be issued to all those candidates who are to be conditionally offered employment or work by Turning Point Scotland. On selection, the prospective employee will receive a PVG Scheme Membership Application Form or Scheme Update Application Form or Disclosure Application Form from the Department of Human Resources. The prospective employee will be required to return their completed application within the prescribed timescale.

(2) For Project Administrators

➢ On attendance at interview, all documentation should be checked by the project administrator and photocopied, with the originals being returned to the applicant on the same day or as soon as possible thereafter by Recorded Delivery. The photocopies must be signed off and dated by the administrator as confirmation that they have seen the original documentation.

➢ On selection of the appointed candidate, all signed photocopies of their original documentation (i.e. passport, driving license etc) must also be forwarded to the Human Resources Department. Recruitment Paperwork packs received without signed documentation are not permitted to be processed and will be returned to the Project Administrator for remedial action.

(3) For the Human Resources Department

(i) General

➢ On receipt of the PVG/Disclosure paperwork for the successful candidate, the Human Resources Department will complete an audit check of the application form and then send it to Disclosure Scotland to be processed.

HR MANUAL March 2012
➢ The Human Resources Department will notify the Service Manager using the AID database, once the PVG/Disclosure certificate is issued and received by Turning Point Scotland.

➢ On return of the PVG/Disclosure certificate to the Human Resources Department, if any conviction information has been disclosed, this will be immediately referred to the Senior Operations Manager, Lead Signatory, for consideration; a PVG/Disclosure Risk Assessment Form (Appendix D) will also be completed. At this stage, the Human Resources Department will also check the original Criminal Records Declaration form to see if information declared is as per the PVG/Disclosure certificate. This process will occur both on the case of initial appointments and re-disclosure.

In such instances, the Senior Operations Manager will be required to provide a decision in relation to the individual’s employment within 10 working days.

(ii) Re-disclosure

➢ To the extent that Disclosure Scotland is providing re-disclosures and PVG Updates, at the third anniversary of employment, employees will be required to undergo a further Disclosure check.

Two months, in advance of the 3-year anniversary, the Human Resources Department will issue the Disclosure documentation to each of the applicable staff members.

The Human Resources Department will alert the Service Manager in the event that an employee has failed to respond to a request to complete an application for an Update or re-disclosure, and appropriate action will be agreed. The employee will ordinarily be required to attend a formal Disciplinary Hearing and formal disciplinary action, up to and including their dismissal may be taken.

Miscellaneous

➢ Prior to the offer of any employment whether permanent, temporary or sessional, where a candidate has declared a criminal conviction, the Chair of the Interview Panel must always consult with the Senior Operations Manager, in writing.

ADVICE AND SUPPORT

Advice and support on matters relating to PVG Scheme Membership and Disclosures is available from the Senior Operations Manager and the HR Department.
Assessing the relevance of criminal records

The suitability for employment of a person with a criminal record will vary depending on the nature of the job and the details and circumstances of any convictions. Depending on the relevance of convictions to specific posts is not an exact science. An assessment of the individual’s skills, experience and convictions, circumstances will be weighed up against the risk assessment criteria for the job.

An individual’s criminal record is assessed in relation to the tasks they will be:

- Required to perform, and
- The circumstances in which the work is to be carried out.

The flowchart at Appendix B is used in the process to decide on the relevance of offences to particular posts. To make a decision on an individual’s suitability in regard to their criminal record, the following points are considered:

- does the post involve one to one contact with children or other groups as employees, customers or clients?
- what level of supervision will the postholder receive?
- does the post involve any direct responsibility for finance or items of value?
- does the post involve direct contact with the public?
- will the nature of the job present any opportunities for the postholder to re-offend in the course of work?
- the seriousness of the offence and its relevance to the safety of other employees, customers, clients or property;
- the length of time since the offence occurred;
- any relevant information offered by the applicant about the circumstances which led to the offence being committed, for example, the influence of domestic or financial difficulties.
- whether the offence was a one-off, or part of a history of offending;
- whether the individual’s circumstances have changed since the offence was committed, making re-offending less likely;
- whether the offence has been decriminalised by Parliament;
- the country in which the offence was committed. Some activities are offences in Scotland and not in England and Wales, and vice versa;
- the degree of remorse, or otherwise, expressed by the individual and their motivation to change.
Will the nature of the job present any realistic opportunities for the applicant to re-offend at work?

Does this job have exemption status under the ROA 1974, or duties under the Police Act 1997 or Acts listed in Appendix A?

To what extent are you bound by other legal constraints?

Does the job involve any direct responsibility for finance or items of value?

Does the job involve direct contact with members of the public?

Would the offence create unacceptable risks for other employees, customers, suppliers or clients?

What could happen at work and how serious would that be?

It is illegal to employ certain ex-offenders in occupation (See Appendix A)

Exemption status for a particular job gives the employer the right to ask applicants about relevant spent convictions

For example, those with motoring convictions employed as drivers.

For example, those with convictions for theft employed looking after money

For example, those with convictions for assault or sexual offences required to visit people in their homes.

Consider the factors that might decrease or increase the risk, such as supervision, working alone etc.
Levels of Disclosure

➤ Basic Disclosure

For individuals who are accessing employment that falls within the criteria of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2003, and will detail any convictions that are currently 'unspent' under the terms of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2003. A copy of the Basic Disclosure only goes to the applicant.

➤ Standard Disclosure

For people who are registered with Disclosure Scotland and for voluntary sector organisations who are registered with the CRBS. A Standard Disclosure is available for individuals who will be working within occupations/professions that are covered by the criteria of the Exceptions Order 1975. A Standard Disclosure will detail both 'spent' and 'unspent' convictions, cautions, warnings and reprimands. A copy of the Standard Disclosure goes to both the employer and the applicant.

➤ Enhanced Disclosure

For people who are registered with Disclosure Scotland and for voluntary sector organisations who are registered with the CRBS. An Enhanced Disclosure is available for individuals who have 'regular contact and sole charge of children under the age of 18 or with vulnerable adults'.

An Enhanced Disclosure will clearly detail both 'spent' and 'unspent' convictions, cautions, warnings and reprimands. Local Chief Constables determine non-conviction relevant information, and it will be information that is deemed to be relevant to the position applied for. A copy of the Enhanced Disclosure goes to both the employer and the applicant.
PVG/DISCLOSURE RISK ASSESSMENT FORM

Guidance: In cases where PVG/Disclosure Certificates have been received by TPS and conviction history has been confirmed by the employee, a risk assessment will be carried out by Senior Operations. This Disclosure Risk Assessment Action Sheet must then be completed.

Candidate/Employee:
Name _______________ Job Title _______________
Service _______________ Service Manager _______________

Tick relevant box:
New Employee ☐  Promotion ☐  3-year re-check ☐

Date on PVG/Disclosure Certificate: ____________________________

PVG/Disclosure Certificate Number: ____________________________
(please see copy attached)

Guidance: If this disclosure certificate relates to a promotion/3year re-check, you must refer to previous PVG/Disclosure Action Sheet to confirm that previous convictions correspond with that noted above.
If no, check that the Convictions have been disclosed in line with TPS Policy and carry out Risk Assessment.

Details of Risk Assessment/Action taken
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

SENIOR OPERATIONS MANAGER:
Signature: ____________________________ Date: ____________________________

PLEASE FORWARD THE COMPLETED RISK ASSESSMENT TO THE HR DEPARTMENT FOR INCLUSION IN THE INDIVIDUAL’S PERSONAL HR FILE.
DETERMINING WHETHER WORK IS 'REGULATED'

“Normal Duties”

The concept of normal duties is extremely important in limiting the scope of regulated work. For an activity or work in an establishment to be regulated work, the carrying out of the activity or the work in the establishment must be part of the individual’s normal duties.

Normal duties can be considered as something the individual might be expected to do as part of their post on an ongoing basis, for example appearing in a job description. Normal duties excludes one-off occurrences and unforeseeable events.

No particular frequency for undertaking the work or duration of work are specified in the Act as these will depend on the context.

An activity or work is likely to be “normal duties” when:

- it appears in an individual’s job description, task description or contract (but these should not be manipulated to stretch the boundary of the PVG Scheme)

- it can reasonably be anticipated; or

- it occurs regularly.

An activity or work is unlikely to be “normal duties” when:

- done in response to an emergency (unless by an emergency worker);

- arranged at the last minute to stand in for sickness or other unexpected absence of another worker; or

- done as a one-off activity of short duration which is not part of the individual’s normal routine or occupation.

Exceptions to ‘Regulated Work’

Some, but not all, activities with children or protected adults are excluded from being regulated work if the activity is occurring incidentally to working with individuals who are not children or protected adults.

An activity is likely to be incidental when:

- open to all (characterised by where the event is held, where it is advertised, admission policy etc);

- attractive to a wide cross-section of society; or

- attendance is discretionary.

An activity is unlikely to be incidental when:
- targeted at children or protected adults (characterised by where the event is held, where it is advertised, admission policy etc);

- more attractive to children or protected adults than others; or

- attendance is mandatory.

An important consideration is the degree to which it could be reasonably foreseen that children or protected adults would attend. Whether an activity is incidental or not is not so much about the numbers of children or protected adults attending but the purpose and intended client group for the activity.

If an activity is believed to be incidental, but actually attracts an overwhelming majority of children or protected adults, then the issue of whether the activity is or is not incidental should be reviewed before the next year / term / season. However, it is not practical or appropriate to change the classification of an activity “in flight”.

Contact usually means physical proximity. (However in some limited circumstances it might also include remote communications such as telephone or e-mail.) Contact does not necessarily require being in the same room but does require a line of sight with the possibility of physical access or communication. For example, a window cleaner cleaning the windows on the outside of a care home would be regarded as being in contact with residents on the other side of those windows.

Opportunity for contact

Work in an establishment is not regulated work with adults unless:

- doing anything permitted or required in connection with the position gives the person the opportunity to have unsupervised contact with protected adults; and

- the contact with protected adults, when the holder of the position is doing anything permitted or required in connection with the position, is more than incidental.

The PVG Act defines "unsupervised contact with protected adults" to mean contact with protected adults in the absence of an individual doing regulated work within the establishment where the contact takes place ("a supervisor"). For work in establishments which does not involve any of the other activities (e.g. caring) to be regulated work with adults it must involve unsupervised contact.

Contact is unlikely to be unsupervised if:

- a supervisor is in the same room; or

- a supervisor has a line of sight on the protected adult(s) and / or the individual(s) whose work is being supervised.

Note that only one supervisor is required at any given instant, however many protected adults or other workers are in the vicinity (within reason). For example, a singer who regularly entertains the residents in the lounge of a care home where a PVG Scheme member (in respect of regulated work with adults) is present is not doing regulated work with adults, despite working in a care home.

Incidental contact is also excluded. For example, people such as tradesmen, window-cleaners and entertainers whose work is supervised or brings them into fleeting contact with residents are not doing regulated work.
Certain workers may still be doing regulated work, for example, administrative staff, gardeners or cleaning staff who can move freely around the building or grounds and have unsupervised contact with the residents as part of their normal duties. Of course, most front-line workers such as care staff, nurses and social workers will be undertaking regulated work as they will be carrying out relevant activities.

REGARD MUST ALWAYS BE HAD TO THE GUIDANCE ISSUED BY DISCLOSURE SCOTLAND WHICH IS TO BE FOUND AT www.disclosurescotland.co.uk.
### Background Check and Record Content - management risk assessment

#### Basic information

<table>
<thead>
<tr>
<th>Name of Employee</th>
<th>Date of Birth</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Service/Project</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Type of check</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Job Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Executive team</th>
<th>Authorising</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Wendy Spencer</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Service Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Issue date</th>
<th>Certificate no.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Disclosure no.</th>
<th>Other identifier?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Details (Service Manager/Interview Chairperson input if disclosed at/before interview)

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is this a volunteer post (not employee)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did the individual declare on the company applications form?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did the individual declare at interview?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did the individual write it in the CRDF</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did the individual declare only AFTER the certificate/content was received?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>What is noted in the content/info given? Give full information or attach the certificate on to this sheet.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If the individual gave context around the content please outline below what this was and when in the process it was provided?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| In your view, does the context and description given by the individual match the content?                                                                                                                                                                                                                                               |     |    |

July 2014
Risk assessment (1. Service Manager/Interview Chairperson input with HR advisor; 2. Senior Operations Manager to review and comment/amend/add to)

What are the risks of the content related to this post?

Is there a reputational risk or issue with our contract compliance?

Can this/these risks be managed/controlled?

If yes, please explain the steps for risk control and extent as to how this would reduce risk

If yes, please explain the steps for risk control and extent as to how this would reduce risk

Service Manager- will you ensure that the risk controls are implemented

Authorisation (Senior Operations Manager to review and comment/amend/add to)

Do you give permission for this person to start

Further comments

Who will feedback to the candidate and when? Please attach a copy to this form.

Signed ______________________ Date ______________________

Post: Senior Operations Manager (No other party authorised to sign)

HR staff only:

<table>
<thead>
<tr>
<th>Checked against secure database</th>
<th>Initial</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filed securely</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Any HR notes or additional contact to Operations or Service Manager?

July 2014
BACKGROUND CHECK AND RECORD CANDIDATE DECLARATION FORM

Congratulations on being shortlisted for interview for the above position with Turning Point Scotland, we are looking forward to meeting you at interview.

Turning Point Scotland complies with the requirements of the Safer Recruitment Guidelines issued by the Care Inspectorate and with our own Recruitment Procedure which is designed to ensure that safe, effective and fair recruitment practices are in place. Most of our posts are exempt under the rehabilitation of offenders act and so we consider both spent and unspent convictions in addition to other background information. We want to know about anything that may be relevant.

All shortlisted candidates who have declared on their Employment Application Form that they have a conviction(s) or a police record or would have been involved in reportable social services issue, are required to complete this form prior to interview.

The purpose of the form is to allow applicants to disclose and discuss their information to ensure that we can take a balanced, informed view of whether or not your convictions or records are relevant to the post applied for and so that we can consider whether they pose an acceptable and manageable level of risk. All criminal offences, convictions and police records as well as significant reportable issues (including those involving social services departments) should be listed including driving offences, cautions and admonishments.

The Record Declaration Form will be processed in the following way:

- Please bring your completed Declaration Form with you to your interview in the attached envelope and pass it to the interviewer.

- The interviewer will open the envelope and consider the relevance of your conviction(s) to the post you are being considered for. They will discuss the offence or issue with you to get an understanding of the context of it. They may contact you following the interview if they require any further information. Although they record the information the Director of Operations is the sole authoriser. A risk assessment may be undertaken.

- If your application is ultimately unsuccessful on this occasion, your Declaration will be destroyed in a confidential manner and in accordance with our policy for the management of confidential information.

- Your information will be handled sensitively and in a confidential manner.

Protection of Vulnerable Groups and Criminal History Disclosure Checks

As we are a provider of social care and working with vulnerable people it is a condition of appointment to almost all of our posts that Turning Point Scotland is in receipt of a PVG Membership/Scheme Record or Disclosure Certificate and other background information that we deem to be satisfactory. Preferred candidates will have their completed application form for Disclosure Scotland processed and are required to produce the relevant ID and information. We cross reference what is received in the Certificate to the information you have provided in this form so it is essential that you declare all relevant information.

July 2014
BACKGROUND CHECK AND RECORD CANDIDATE DECLARATION FORM

Post applied for: .................................................. Ref: .............................................

Name: ........................................................................................................

Please include details of all convictions ('spent' and 'unspent') cautions, warnings, reprimands, admonishments or any non-conviction relevant information to disclose. This should include any current investigations and any current or previous order, restrictions or consideration for listing or similar placed on you from governmental bodies (for example the home office, local authority social work departments, SSSC, NMC, PVG).

If you require more space, please continue on an A4 sheet with your name marked clearly.

<table>
<thead>
<tr>
<th>Date</th>
<th>Charge/Issue/Allegation/Offence</th>
<th>Outcome - Investigation only, Sentence, Caution, Admonish, Reprimand, Fine, Points, Order against you, Warning (or other outcome)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

July 2014
Please provide information about your personal circumstances at the time and the context of the incident(s)/issue.

When relevant, have you taken any action to resolve the issues underlying the incident/offence? What/how?

Section 2 Declaration

I confirm that to the best of my knowledge the above information is correct. I understand that if I am selected to work for TPS, and it becomes apparent that information provided in this form is false or is omitted, my application may be withdrawn or formal disciplinary action may be invoked up to and including dismissal.

I understand that should I be appointed I will also be required to have a PVG Membership/Scheme Record or Disclosure check carried out prior to appointment and if required at regular intervals thereafter.

Candidate signature ........................................... Date ....................

Any additional notes for detail by the interview Chair Person

Signature ......................................................... Date .....................

July 2014
Dear candidate

Thank you for attending for interview today. In order to speed up the interview process, I would be obliged if you could complete this questionnaire and hand it to the Interview Panel at the start of your interview. Please be aware that the Interview Panel may wish to seek clarification on your responses during the course of the interview and that the information will be relied upon as part of our selection process.

| POST BEING INTERVIEWED FOR (including post reference number): |
| CANDIDATE NAME (please print): |
| SIGNATURE: | DATE: |

<table>
<thead>
<tr>
<th>Questions/Information</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Have you ever been subject to disciplinary action in past, or have you any pending?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>If YES, please state the level of discipline e.g. warning or dismissal and briefly outline the reasons given to you for disciplinary action being taken.</td>
<td></td>
</tr>
<tr>
<td>2. Have you declared any convictions on your Application Form?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Have you brought a completed Criminal Conviction Declaration Form with you today?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>3. Do you require specific permission to work in the UK?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>If yes, please explain your status.</td>
<td></td>
</tr>
<tr>
<td>4. Have there been periods in your career during which you have not been working?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>If so, what were you doing instead?</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td><strong>5.</strong> How much notice do you require to give your current employer?</td>
<td></td>
</tr>
<tr>
<td><strong>6.</strong> Do you have a clean driving licence?</td>
<td>Yes ☐  No ☐</td>
</tr>
<tr>
<td>Do you have access to a car for use during the working day?</td>
<td>Yes ☐  No ☐</td>
</tr>
<tr>
<td>If yes, is your car insured for business purposes?</td>
<td>Yes ☐  No ☐</td>
</tr>
<tr>
<td><strong>7.</strong> Turning Point Scotland always try to honour new starts’ pre-booked holidays. Do you have any holidays booked in the next 3 months?</td>
<td>Yes ☐  No ☐</td>
</tr>
<tr>
<td>If so, what dates will you be away?</td>
<td></td>
</tr>
<tr>
<td><strong>8.</strong> Turning Point Scotland operate a No Smoking Policy, however there may be circumstances where we cannot guarantee a smoke free environment. Are there circumstances which would make this difficult for you? If yes, please explain briefly.</td>
<td>Yes ☐  No ☐</td>
</tr>
<tr>
<td><strong>9.</strong> Are you already a member of the PVG Scheme?</td>
<td>Yes ☐  No ☐</td>
</tr>
</tbody>
</table>

Many thanks. I hope that you will find the interview process at Turning Point Scotland to be a positive experience regardless of the outcome.

Yours sincerely

Katherine Wainwright
Head of Human Resources