

# Recruitment & Selection Procedure

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## Summary of Changes

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## 1.0 Introduction

This procedure and associated policy are intended to give Ark Board of Management, Managers and staff clear and straightforward best practice guidance on recruiting potential employees on a fair and equitable basis, whether internal or external candidates. Ark will follow the national Safer Recruitment through Better Recruitment guidelines for all Ark roles.

## 2.0 Responsibilities

Board Members, managers and employees of Ark need to be aware of their specific responsibilities in line with the following policies:

- Equality & Diversity
- Recruitment and Selection
- Openness & Confidentiality
- Entitlements, Payments and Benefits

Ark will therefore endeavour to ensure that all managers, Board members and any employees who are involved in the recruitment and selection processes are given appropriate training in order to implement the recruitment and selection procedure effectively whilst complying with legislation.

## 3.0 The Vacancy

Once a vacancy arises within the organisation the following questions should be asked:

- Does it have to be filled? (could the work be distributed amongst existing staff / what would be the adverse consequences of not filling it?)
- What are the existing work requirements for the role?
- Does the role fit in with workforce development or succession planning needs?

When a job becomes vacant or a new job is created this provides an opportunity to review the existing and future needs of the service or department. This also allows for the recruitment manager to explore and evaluate other possible staffing structures or an alternative use of resources.

Where the recruiting manager wishes to recommend changes which may be significant and/or are likely to affect the terms and conditions of the post, then discussions should take place with their Line Manager and the Human Resources team as appropriate.

It may be the case that revised structures have been agreed and that vacant posts will be required to be filled in a pre-planned way. In these circumstances, vacancies will be held until it is identified as to whether redeployment will apply.

### 3.1 Budget Management

At this stage, it is important to ensure that there is scope for the recruitment within the existing staffing budget. This will ensure that the recruitment process can go ahead and that all parts of the process are carried out based on the correct financial information. The budget for recruitment sits with the Care & Support services or the specific priority function looking to recruit, therefore HR will assume for any recruitments that it is within agreed budgets set by the Finance team.

### 3.2 Recruitment Confirmation

When a vacancy arises the recruiting manager must complete the recruitment confirmation form and email this to HR. This form starts the recruitment process see **Appendix 1**. This must be sent to HR prior to any commencement of recruitment.

### 3.3 Job Outline

The job outlines and competency frameworks stipulates the required skills and knowledge for each job role. This is integral to the recruitment process as it will identify the most suitable candidate for the post; assist in the identification of learning needs as part of the induction process, and the ongoing performance management process. For any new positions, job outlines must be developed with support from HR.

### 3.4 Person Specification

The person specification is a document that details the essential and desirable competencies which are required to fulfil a job role. These are detailed in four sections:

1. Knowledge, Skills, Values & Understanding
2. Qualification required
3. Training, Learning & Development Needs
4. Ark Competencies

As with the job outline, the person specification is integral to the recruitment and selection process and must be used throughout the selection process:

- In drawing up the job advertisement.
- In providing criteria for the short-listing exercise.
- In compiling competency based interview questions.
- In making the decision to appoint, and
- In identifying the successful candidate's future learning & development needs.

These requirements designated under essential or desirable need to be measurable and must not be discriminatory. Criteria used must be consistent throughout the recruitment exercise. Not all the sections in the person specification will be completed. For example, qualifications are considered essential only where they are needed to do the job. The criteria and competencies listed in the person specification align to the appropriate competency framework for the job role and must be:

- Relevant to the job.
- Fair and justifiable.
- Consistently applied.
- Clearly stated.
- Measurable at some stage of the recruitment process.

There are a number of roles within Ark with the same job title (e.g. Support Workers). It is important to recognise that there may be specific needs of individual services which must be reflected in the person specification for that particular service. These will be over and above the core competencies of the generic person specification which applies to all posts with the same job title.

Where there are additions to the person specification, these must be identified at the start of the process and can be included in the job advert.

### 3.5 The Recruitment Panel

Once the recruiting manager has reviewed the job and decided to recruit, an interview panel needs to be identified.

Interviews will be chaired by the recruiting manager of the service/department and should be assisted by at least one other. For SLT posts and above the suggested minimum number on the interview panel is three.

A minimum of two people must be on the panel and at least one of the panel members must be trained in the recruitment and selection process and must be senior to the role that is being recruited for.

A Board Member representative will be involved in all appointments at Director Level and above.

A member of the HR Department will be involved in all senior manager appointments and will, as part of their monitoring role, or where it is felt beneficial participate on an ad hoc basis in interviews at any level within Ark.

### 3.6 People we support on Selection Panels

It is desirable to include people we support in the recruitment process where possible, particularly where recruiting staff who will be working exclusively with them. Involving people we support in staff recruitment provides a clear opportunity for direct participation in service provision and allows individuals to have a say about who one spends their time with at home or during the day and is an important part of empowering people to have more control over their lives.

Any involvement of people we support in recruitment and selection should be done in an organised way. The Recruiting Manager will be responsible for ensuring consideration has been given to appropriate supported person input. Colleagues in the Tenant and Participation team can support with this.

Once the interview panel is identified a practical timetable for the whole process can be drawn up. The same people should be involved throughout the process and should have delegated authority to appoint.

### 3.7 Advertising

The key to getting the right candidate is to choose the method of attracting candidates most appropriate to the job you are trying to fill. The HR Team provides a centralised advertising service for the advertisement of vacancies and will assist the Recruiting Manager to prepare an appropriate advertisement. The HR Team can also provide support and advice on selecting different media types, evaluating the cost/ benefit and tailoring media choices to meet the demographics of the service/department recruiting. The recruiting manager can also suggest job specific platforms to advertise.

High costs are incurred using agencies to recruit, this must be a last option if standard avenues are unsuccessful.

#### 3.7.1 Internal and External Recruitment

It is best practice that all vacancies should be internally and externally advertised simultaneously with the same closing date. In certain circumstances, internal-first advertising may be the most appropriate approach and these will be considered on a case by case basis with the input of the HR Department.

Ark will endeavour to provide development, promotion and succession planning opportunities to existing employees. Where it is recognised that the skills and experience

required for the post are available within the organisation, or where, with appropriate training and development the post-holder will be effective within a period of time compatible with the needs of the post this will be considered when advertising.

All senior/specialist posts will be advertised internally and externally simultaneously with the same closing date.

It is important to note that internal only adverts do not extend to family or friends of employees nor to students or other volunteers working in or known to the service/ department.

As a registered charity, Ark is exempt from paying VAT on recruitment advertising; however the cost of advertising can be very expensive.

## 4.0 The Recruitment

### 4.1 Application Pack

Application packs can be downloaded directly from the Ark website or sent to potential applicants by post, Applicants will also be instructed to return completed packs to the HR Team where they will be collated and coded until the closing date when information will be sent to the interview panel.

### 4.2 Guaranteed Job Interview Scheme

Ark is fully committed to improving career opportunities for disabled people. Applicants who apply for jobs with Ark who consider themselves to have disability will be guaranteed an interview providing they meet the minimum essential criteria for the job as stated in the person specification.

### 4.3 Information given to the recruitment panel

Applications will not normally be accepted after the closing date, although allowance would be made in certain circumstances, for example adverse postal conditions. Otherwise immediately after the closing date the interview panel will be sent the following by the HR Team via e-mail:

- A numbered list of applications received (the Selection Details form).
- The Application forms.
- Forms required for completion during the selection stage.

The panel should then arrange to discuss and agree a short list.



#### 4.4 Short-Listing

The recruiting manager is responsible for shortlisting and updating the candidate selection form. The panel should select the essential criteria, which can be assessed against the information contained in the application form. To ensure a level playing field for all applicants, those who exceed the minimum requirements for the job should not be favoured. If a higher number of applicants meet the essential requirements than are required for the short list, then the “desirable” criteria can be used. New criteria cannot be introduced to assess the candidates at this stage as it would be deemed unfair. Where there are still more applicants who meet the requirements than the panel wish to short list, please seek advice from the HR Team. Applicants should not be short listed on grounds of age, travelling distance, family commitments or any other preconceptions. An exception would be where a disabled person or person from another discriminated group met the requirements, and the advertisement had stated that such applicants would be guaranteed an interview.

Note that applicants wishing to be considered under the guaranteed interview scheme must be interviewed if they meet the minimum criteria for the post as defined in the person specification.

Where an internal candidate has not been short-listed they must be advised of this and offered verbal constructive feedback by the appropriate manager prior to a letter being sent from the HR Team.

Candidates are advised on Ark’s application form that if they have not been contacted within a month of applying that they should assume that their application has been unsuccessful. Regret letters are sent to any position above Support Worker level and are issued by HR.

#### 4.5 Declaration of Interests – Connected People

If any of the candidates are friends or relatives of any panel member, then in the interests of fairness, that member should exclude him/herself from any further involvement in the selection process.

Recruiting managers should be aware of Ark’s policy G11 Entitlements, Payments and Benefits. When considering applications from connected persons, former employees and committee members. The ‘People Connected to You’ Process must be followed. See **Appendix 2**.

Applications from connected persons e.g. close relatives of existing or former employees or Board Members should receive equal treatment to other applicants. Where it is recommended that an offer of appointment be made to a close relative of an employee or

former employee or Board Member, the appointment will require to be ratified by a Human Resources Business Partner, and will be recorded in the Declarations of Interest Register. The recruiting manager must complete a People connected to you form (**Appendix 3** for process) and send to HR. If the recruiting manager wishes to discuss any issues relating to this, he/she should contact a member of the HR Team. This must be done and approved before the person starts their first day at Ark.

For the purposes of this policy and procedure the definition of a connected person is based on the definition in the Housing (Scotland) Act 2001. The table below details the groups:

Group 1 Members of your household	Group 2 People closely associated with you	Group 3 Others you need to consider
Anyone who normally lives as part of your household, whether they are related to you or not, including spouses/partners who work away from home and sons and daughters who are studying away from home	<ul style="list-style-type: none"> <li>• Parents, parents-in-law and their partners</li> <li>• Sons and daughters; stepsons and step-daughters and their partners</li> <li>• Brothers and sisters and their partners</li> <li>• A partner’s parent, child, brother or sister</li> <li>• Grandparents, grandchildren and their partners</li> <li>• Someone who is dependent on you or whom you are dependent on</li> <li>• Close friends</li> </ul>	<ul style="list-style-type: none"> <li>• Other relatives (e.g. uncles, aunts, nieces, nephews &amp; their partners)</li> <li>• Other friends (e.g. someone you are acquainted with socially, neighbours, business contacts/associates)</li> </ul>

For vacancies where the candidate to be interviewed has declared that they are ‘related’ to an employee, the advice of the HR Team can be sought. Applicants are also asked to complete a section of the application form where this information is asked.

There are also specific regulations, which affect potentially successful applicants who will be directly managed by their ‘relative’. Again the advice of the HR Team should be sought prior to arranging interviews.

Permission must be sought from the Director of People and Organisational Development if a position is to be offered to a member, or previous member of the Board of Management.

#### 4.6 Selection Methods

It is important to consider how best to screen candidates. Along with the interview selection method it is possible to consider the use of an additional selection tool. Care should be taken to select techniques, which are relevant to the job. All selection methods should be validated and constantly reviewed to ensure their fairness and reliability.

Interviews will be arranged at service level with details passed to HR. All interviews will be carried out on a structured basis. This ensures that the interview panel concentrates on gathering information which has previously been identified through the Job Description and Person Specification. The most accurate predictor of future behaviours is past performance. Using a structured interview process the interview panel will ask competency based questions to assess candidates. A variety of interview materials can be found here <M:\HR\Recruitment Materials> Ideally interviews should be held face to face however they can also be held using a virtual video platform such as MS Teams, Zoom, WhatsApp and Facebook video calls. We do not support telephone interviews.

The interview panel must prepare and agree the questions to be asked in advance of the interviews being held. An interview assessment form must be used to record relevant responses to key questions; note outstanding issues, gaps or objective concerns and perceptions of the candidate as well as the outcome of the interview. After the interview, this document must be fully completed, scored, signed and sent to HR. Access to the document can be found on <G-drive/HR/Recruitment Materials>

Following a first stage interview, with or without additional testing, recruiting managers may also wish to incorporate one of the following into the selection process.

- Second Interview

This interview could be used to explore the candidates' perception of the workplace, for example following a workplace visit (see below), and the post requirements, in addition to exploring any criteria that remain undemonstrated or untested fully.

In addition, if after the first round of testing there are still more suitable candidates than posts a second interview can be used to explore further areas with the candidates.

- Workplace Visit to a Service or Head Office

A visit to the place of work can be organised. The main purpose of this visit is for the candidate to get a better idea of the workplace and enable them to ask questions. The recruiting manager should accompany the candidates on these visits.

## 4.7 Making the Selection

The person specification, again, is the basis for decisions. The interview panel members should compare the applicants only with the requirements detailed in the person specification, and not to each other. The type (or quality) of experience each candidate has should be considered, as well as the quantity. The decision to select should be based on all the factual information available, using the interview assessment form and overall assessment form and never on 'gut feelings'. Such feelings often arise from preconceived ideas or stereotyping, and should be recognised as such. Individual candidates should not be discussed between interviews but rather a group discussion should be conducted at the end of the interview series. Remember to review scores too to ensure consistency. The successful candidate will be the one who has best met all the essential criteria on the person specification. If more than one person has met the essential criteria, then the desirable criteria should be considered. Once you've chosen the best candidate, choose a reserve, where possible - just in case the first candidate decides not to accept the offer. Second interviews, as discussed above, can be arranged when the panel cannot make a clear decision to enable key criteria to be explored further in depth.

## 5.0 Offer of Appointment

### 5.1 Process

The recruiting manager will telephone the successful candidate(s) to offer the job subject to satisfactory references, a satisfactory disclosure or protecting vulnerable group (PVG) scheme check, eligibility to work in UK and, where applicable, proof of qualifications. This telephone conversation can provide an indication of whether the candidate will accept the offer, and will also permit negotiation of terms of appointment (e.g. start date) although verbal acceptance cannot be relied upon absolutely. Please note that in Scotland a verbal offer is binding.

The recruiting manager is responsible for ensuring that justifiable documented reasons for decisions are provided and that all copies of materials are gathered. These should then be sent to the HR Team who will then be responsible for ensuring documents are stored according to the GDPR guidelines, the person specification, the application forms and interview assessment forms, for unsuccessful candidates will be retained confidentially for 1 year and then confidentially destroyed. Electronic copies will also be destroyed after 1 year.

In addition to sending in all of the appropriate paperwork and identification from the selection process, the recruiting manager should also complete the Selection Details form and e-mail it to the HR Team who will then co-ordinate with the recruiting manager and the successful candidate until all of the requirements of the offer are met.

## 5.2 Conditional Offer

When the HR Team have received the Selection Details form and paperwork from the recruiting manager they will issue a written offer to the candidate and request written confirmation of acceptance. The offer letter is sent in duplicate, and the candidate is asked to sign the copy document and return it to signify acceptance of the post within 2 weeks of receiving the offer.

In addition to the Conditional Offer, candidates are also sent a Disclosure or PVG Scheme application form (paper form or online) and a pension scheme application form, at this time. The reference requests are also sent to the referees, see section 6.1 below.

## 5.3 Feedback for Unsuccessful Candidates

The unsuccessful candidates should then be informed, although the interview panel may request a 'second choice' to be held back (for a limited time) in case the offer is not accepted. A regret letter will be sent by the HR Team explaining that they have been unsuccessful on this occasion and offering the opportunity to receive feedback from the recruiting manager.

It can be very helpful to candidates to offer constructive feedback on interview performance. If any of the unsuccessful candidates request further information, this should be provided based on facts only, which are detailed in the candidate's interview assessment form that was completed at the interview. Feedback should be given by the recruitment manager. This closure of the recruitment process assists candidates to prepare for future jobs and also promotes good public relations for Ark.

## 5.4 No Successful Candidate found

If, however, at the end of the selection processes a suitable appointment cannot be made, a further recruitment will need to take place. Examination of the reasons for a suitable candidate not having been identified in the first instance should be carried out and any required alterations should be made to the next recruitment phase.

## 6.0 Pre-Employment Checks

### 6.1 References

References must be sought from at least two referees for all successful external candidates. If the applicant is employed, one reference must be from their current employer and the other from their previous, or most recent, employer. Applicants are asked to provide details on their application form and the recruiting manager should confirm these details with

them at interview. We do not accept two references from the same organisation or from family members or friends. Candidates are also asked to contact their referees to ensure they are willing and able to provide a reference on their behalf. HR will issue a copy of the job description for the post to the applicant's referee for information. He or she will be requested to provide information on the applicant, related to the criteria laid out in the job description, including the nature of the work undertaken, quality of their work and whether they would re-employ the applicant.

If the applicant is unemployed, the references must come from the applicant's most recent employer. There may be circumstances where this may be difficult such as a school leaver or someone returning to work following a lengthy absence. If this is the case character references may be accepted from a professional person. Character references from friends and relatives are not acceptable.

On request from an individual, managers are generally required to give access to references they have received from a former employer of the individual. However, the manager needs to balance the rights of the individual who is asking to see the reference with any duty of confidence that they owe to the person who wrote the reference and Data Protection legislation.

Telephone references ONLY should be discouraged. If a telephone reference is taken, this cannot be accepted until confirmed in writing and validated as detailed below.

Employment references will only be valid as such if they are certified by a company stamp, on headed paper or official in some capacity.

All references must be reviewed by the line manager and confirmed as satisfactory before an unconditional offer of employment is made. It is the appointing manager's responsibility to ensure any areas of concern raised in a reference, is addressed before an unconditional offer is made to appoint.

If a manager allows the employee to start work before references have been received the employee will have the same rights as any other employee if the job offer is then subsequently withdrawn due to unsatisfactory references e.g. in relation to wrongful dismissal.

For successful internal applicants their current line manager within Ark should be approached for a reference.

## 6.2 Criminal Convictions

Ark is exempt from the Rehabilitation of Offenders Act 1974 and all applicants must declare any spent, unspent or pending convictions as detailed on the Disclosure Scotland website (<https://www.mygov.scot/convictions-higher-disclosures/>)

All current and prospective employees are expected to reveal details of any unspent criminal convictions or any convictions pending. Failure to disclose such, or to supply misleading information, will be regarded as gross misconduct and will, normally, result in dismissal or withdrawal of offer of employment.

When applicants are invited to interview, they are sent a letter from the HR Team informing them of the details of the interview and in addition they are sent a 'Candidate ID Checklist'. This checklist provides clear details on the identification they are required to provide for the recruitment process. At interview the recruiting manager must verify the original documents, take a colour photocopy and certify them before forwarding to the HR Team together with the relevant section of the Interview form or the interview question pack as mentioned in 4.6 above. If a candidate has not provided sufficient identification the recruiting manager should arrange an appropriate time for the candidate to come back with alternative/ different documents. ID must be certified by a manager to say '*I verify this is a true copy of the original. Signed by XX on Date XX*'.

Depending on the post applied for the candidate will either require a basic or standard disclosure check or they will be required to join the Protecting Vulnerable Groups (PVG) Scheme and ensure they have an up to date statement in connection with this.

#### 6.2.1 Principles of PVG Checks and Disclosures

In order to comply with Disclosure Scotland guidelines, all Ark employees, students and volunteers including Board of Management members will have been processed through an appropriate level of Disclosure Scotland check or, where applicable, will have registered to become a member of the PVG Scheme.

All applicants including students and volunteers will be made aware that any offer of employment, student placement or voluntary work will be conditional upon receipt of an appropriate satisfactory Disclosure Scotland certificate and, where applicable, evidence of PVG Scheme Membership. This is in addition to and is not a substitute for the full range of existing pre-employment checks. Ark will process PVGs and Disclosures for volunteers through Volunteer Scotland, the cost of which is funded by the Scottish Government.

#### 6.2.2 Protecting Vulnerable Groups Scheme (PVG)

The purpose of the Protecting Vulnerable Groups Scheme (PVG Scheme) is to ensure that all individuals who have regular contact with children and protected adults through paid and unpaid work do not have a known history of harmful behaviour.

Individuals who have regular contact with children or protected adults are required by the Scottish Government to become a PVG Scheme member.

Once the initial application has been processed the individual will be issued with a PVG Scheme Membership Record.

It is important that the individual retains the PVG Scheme Membership Record and is able to produce it when requested to do so by a prospective employer. Where an individual applies for a post and is already in receipt of a PVG Scheme Membership Record, Ark will apply for a PVG Scheme Record Update and where there is any vetting information on the update that is not on their original record, a full PVG Scheme record will be obtained.

The PVG Scheme is a Scottish Government initiative and is managed and delivered by Disclosure Scotland. Under the scheme it is illegal for an individual who is barred from the PVG Scheme to work with protected vulnerable adults and it is illegal for Ark to employ these individuals to work with protected vulnerable adults. For this reason it is essential that individuals register with the scheme prior to commencing employment with Ark. The full cost of this registration process will be met by Ark. However if an employee leaves within 6 month Ark will claim the cost of this back.

### 6.2.3 Disclosures

Applicants who are not in regular contact with vulnerable groups will not be required or permitted to join the PVG Scheme. They will however be expected to undergo a Disclosure Scotland check as required for the post, prior to commencing employment.

There are two Disclosure Scotland checks which may be carried out; basic or standard. The level of check required will be dependent on the role and level of job that the applicant will be undertaking. If an employee is not doing regulated work but they are working for a registered care service then they are likely to be eligible for a standard disclosure. Basic disclosures are available for all Priory staff however some roles within the Priory functions may require a PVG.

PVG	Care & Support Staff	Priory staff who are in contact with People we Support eg Participation
Disclosure	Priory staff and Board of Management members	

### 6.2.4 Usage, Handling, Access and Storage of Disclosure Information

Ark uses Disclosure Scotland information solely for the purpose for which it has been provided. Ark processes personal data only with the express consent of the individual. For further information please see Ark’s Openness & Confidentiality Policy and Data Protection Procedure.



## Handling

Ark recognises that, under section 124 of the Police Act 1997, it is a criminal offence to disclose Disclosure Scotland information to any unauthorised person. Ark, therefore, only pass Disclosure Scotland information to those who are authorised to see it in the course of their duties. Ark will not disclose information provided under section 113B(5) of the Act, namely information, which is not included in the disclosure statement, to the applicant.

## Access and Storage

Ark does not keep Disclosure Scotland information on an individual's file. This is kept securely, in lockable, non-portable storage containers. Access to storage units is strictly controlled to authorised and named individuals who are entitled to see such information in the course of their duties.

### 6.2.5 Retention and Disposal

Ark does not keep Disclosure Scotland information for any longer than is required after recruitment (or any other relevant) decision has been made. In general, this is no longer than six months. This is to allow for the solution of any disputes or complaints. Information will only be retained for longer than this period in exceptional circumstances and in consultation with Disclosure Scotland. The same conditions relating to secure storage and access will apply during any such period.

Individuals who are required to become a PVG scheme member should ensure that they retain their original Scheme Record and can produce it upon request.

Once the retention period has elapsed, Ark will ensure that information produced by Disclosure Scotland is immediately destroyed in a secure manner i.e. by shredding it. ARK will not keep such information, which is awaiting destruction in any insecure receptacle (e.g. a waste bin or confidential waste bin). Ark will not retain any image or photocopy or any other form of the information. Ark will, however, keep a record of the date of issue of the disclosure/PVG statement, the name of the subject, the type of disclosure information requested, the position for which it was requested, the unique reference number and details of the recruitment decision taken.

### 6.2.6 Procedure for Processing Disclosure Scotland Applications

#### Roles and Responsibilities

The Director of People and Organisational Development is designated Lead Signatory and an appropriate number of counter signatories in Ark will be registered to service the Disclosure Scotland process.

The HR team are responsible for administering Ark's Disclosure Scotland application process. This includes issuing disclosure/PVG scheme application Forms to all successful applicants, students, volunteers and Board of Management members; checking all completed application forms with the appropriate identification, countersigning completed application forms and sending them to Disclosure Scotland.

In addition, the HR team will liaise with Disclosure Scotland where appropriate and will inform the Recruiting Manager of the contents of the PVG Scheme Record or Standard or Basic disclosure. The HR team are also responsible for the secure handling, storage, retention and disposal of all Disclosure Scotland information, in accordance with the above.

The Recruiting Manager is responsible for discussing any disclosure of criminal convictions on Ark's application form with the applicant, student or volunteer to seek further information and to determine the next course of action. Managers are also responsible for making any decisions, pertinent to their teams, based on the information produced by Disclosure Scotland for any applicant, employee, student or volunteer.

The Regional and Operations Manager and Human Resource Business Partners are a source of guidance and support for Recruiting Managers in making such decisions.

#### Application Stage

All applicants, students and volunteers will be asked to provide details of their criminal record history at an early stage in the recruitment process by completing the relevant section on Ark's application form. This section of the application will be kept in a separate sealed envelope and will only be opened where there has been a delay in obtaining a PVG Scheme Record or Standard or Basic disclosure, where vetting information has been discovered or once in receipt of the PVG Scheme Record or Standard or Basic disclosure.

If a Recruiting Manager needs to discuss with the candidate any disclosure of criminal convictions on their application form then an appropriate risk assessment will be carried out and they must inform HR of their decision (**Appendix 4**)

All applicants, students and volunteers will be asked to complete a disclosure or PVG scheme application form at the interview stage in the recruitment process and submit it to HR.

A disclosure or PVG Scheme application form cannot be sent to Disclosure Scotland until all information has been verified and satisfactory identification has been provided.

#### 6.2.7 Employment of Candidates Who Have Lived Outside The UK.

A Disclosure Scotland check includes checks on applicants, students or volunteers with addresses from Great Britain and Northern Ireland only.

Where an applicant has lived out with the UK for 3 months or more in the past 5 years they must provide the most comprehensive disclosure (or equivalent) from the country/countries in which they have lived. Ark will reimburse reasonable costs. If the applicant is unable to provide this information they must contact the HR Department.

If an applicant, student or volunteer has lived out with Great Britain and Northern Ireland, Ark may contact Disclosure Scotland for assistance in following the Disclosure procedure for the other countries in which the applicant, student or volunteer has lived.

Applicants who have lived out with Great Britain and who wish to work with vulnerable groups will still be required to register for the PVG Scheme prior to commencing employment.

#### Approval of Disclosure Certificates

HR will receive disclosure or PVG Scheme records for all successful candidates, students and volunteers. Staff who receive a disclosure will have to bring in their original disclosure certificate to be photocopied and endorsed by the recruiting manager. Ark no longer receive copies of disclosure from Disclosure Scotland.

HR will inform the Recruiting Manager of the outcome of all Disclosure Scotland information received for their team.

Where an individual will be working regularly with vulnerable adults and it transpires that they have been barred from the PVG Scheme, Ark will be unable to offer/continue to offer employment.

If a decision on the content of the information issued by Disclosure Scotland is required, the Recruiting Manager will consider potential risk to Ark and must then inform HR of their decision.

It should be noted that where an individual has other vetting information on the PVG Scheme record but has not been barred from the PVG scheme Ark may still refuse employment depending on the information presented and the potential risk to Ark.

If the outcome of the decision is to not employ the candidate, the candidate will be informed by the Recruiting Manager and this will be confirmed by HR in writing.

HR will record the outcome of all decisions on the HR/Payroll database.

#### 6.2.8 Commencement of Employment

Employment/student placement/volunteer work cannot commence until an appropriate satisfactory disclosure or PVG Scheme record has been received.

As per The Care Inspectorate guidance, only in exceptional circumstances i.e. where there is significant staff shortages that may put service delivery at risk, HR Business Partner may authorise the commencement of employment prior to a disclosure or PVG Scheme record being received by Ark. The Care Inspectorate will be informed of the circumstances necessitating this course of action. For an exceptional circumstance to be considered the following must be provided:

- A Risk Assessment must be completed by the Recruiting Manager (**Appendix 5**)
- In addition HR must ensure the following has been actioned:
- A completed disclosure or PVG Scheme application must have been received.
- All other pre-employment checks must have been carried out i.e. interview, two references (one from the most recent employer) including return of all other relevant recruitment documentation.
- The confidential criminal conviction form will be opened as part of the risk assessment process.
- If the HR Business Partner authorises the appointment without a Disclosure/PVG being returned then the following must also apply:
- The candidate must not work in a lone working situation and an appropriate level of supervision must be provided at all times until a satisfactory disclosure or PVG Scheme record has been received.
- Employment cannot be confirmed (i.e. principal statement of particulars of employment) until the disclosure or PVG Scheme record has been received.

In addition to the police check, the HR Team will also cross reference the Criminal Convictions Declaration form with the Disclosure/PVG Scheme Certificate. The Criminal Convictions Declaration form, which the candidate will have completed and sent to the HR Team in a sealed envelope with their application form, will not be opened unless a candidate has been successful.

Once opened, if the details on the Criminal Convictions Declaration form and the Disclosure/PVG Scheme Certificate do not match, the recruiting manager would have to contact the candidate to discuss this and an appointment would not be confirmed until a satisfactory reason has been provided.

#### 6.2.9 Existing Employees

It is a condition of employment that Ark completes and receives a satisfactory appropriate level of Disclosure Scotland information for all employees. Ark has adopted a three year periodic checking frequency to review all PVG's in line with Care Inspectorate guidance.

For all internal changes or transfers HR will only confirm the appointment once they have ensured that a current, satisfactory disclosure or PVG Scheme record is on file.

If relief staff do not carry out any work for Ark for a period of 6 months, the manager will be advised that the individual will be removed from the relief list. If they are to be used at a future date, then a PVG Scheme record update must be obtained before any work was carried out.

A new application must be made for any employee who has returned to Ark's employment after leaving, no matter how brief the break in service.

In the event that Ark becomes aware of information concerning the conduct or behaviour of any worker within Ark, which it genuinely believes could bring Ark into disrepute; or in the event that an incident demonstrates unsuitability for further employment which may trigger the disciplinary process, Ark reserves the right to instigate the Disclosure process in accordance with this policy.

Criminal proceedings including warnings, cautions, reprimands/convictions gained whilst in employment with Ark must be disclosed. Failure to disclose criminal proceedings including warnings, cautions, reprimands/convictions that arise during employment could result in disciplinary action.

#### 6.2.10 Disclosure to External Agencies

##### PVG Scheme

It is an offence for Ark to offer regulated work to any individual who is barred from the PVG Scheme. It is also an offence for individuals to take on regulated work once they have been barred from the scheme.

In addition, groups and organisations will be able to make a referral to Disclosure Scotland if they become concerned that an individual has behaved in a harmful way towards vulnerable groups. Ark will follow the guidance laid out by Disclosure Scotland to ensure that all referrals are appropriate and fair.

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 a barred lists. If a person is under consideration for listing, Disclosure Scotland will legally be able to obtain further information from Ark.

While under consideration for listing, individuals can continue to work with vulnerable groups but Ark will be notified that their PVG Scheme membership status has changed and may take interim steps where there is a perceived risk to service users.

Ark have a duty to make a referral (within three months of taking a final decision to dismiss an individual or move them permanently from regulated work) to Disclosure Scotland when they are satisfied that an individual's conduct meets the following criteria (referral ground):

- Harmed a child or protected adult.
- Placed a child or protected adult at risk of harm.
- Engaged in inappropriate conduct involving pornography.
- Engaged in inappropriate conduct of a sexual nature involving a child or protected adult.
- Given inappropriate medical treatment to a child or protected adult.

Employers may only make a referral when they have dismissed an individual or moved them permanently from regulated work with the group concerned or where they would or might have dismissed had the individual not left their employment before the decision was made, or had they known the information at the time the individual worked for them.

If an individual is considered a risk and therefore, unsuitable to work with protected adults Disclosure Scotland will list the individual on the appropriate barred lists. This means that the person will not be able to become a PVG Scheme member in relation to their area of work. It is an offence for a barred person, and for an organisation to permit that person, to undertake such work.

#### Scottish Social Service Council (SSSC)

In accordance with the Regulation of Care (Scotland) Act 2001 Section 57A Notification of dismissal to Council, ARK has a duty to inform the Scottish Social Services Council of any dismissal of a member of support staff on the grounds of misconduct, or if the employee has resigned or has left their job and the circumstances are such that the worker would otherwise have been dismissed for misconduct or dismissal for misconduct would have been considered.

For employees registered with the Scottish Social Services Council (SSSC), if the allegation concerns conduct that could result in the service user being at risk or coming to harm, then any disciplinary action which results in a written warning, final written warning or dismissal will be reported to the SSSC.

Ark must inform the SSSC during the following circumstances

- If an employee is suspended, dismissed, demoted.

- An employee has resigned during a disciplinary investigation where the employer would have considered dismissal.
- Anything that would be referred to Disclosure Scotland.
- If an employee has been charged or convicted of a criminal offence.
- Ark must refer the following behaviours that are likely to call into question a worker's fitness to practise regardless of the outcome of any disciplinary/performance/criminal process:
  - Dishonesty, fraud, abuse of trust.
  - Exploitation of a vulnerable person.
  - Failure to respect the rights and choices of people who use services.
  - Health which is not being managed and affects the safety of people who use services.
  - Hiding mistakes/blocking investigation.
  - Improper relationship with a person who uses services.
  - Reckless or deliberately harmful acts.
  - Serious or persistent failure to meet standards.
  - Sexual misconduct or indecency (including child pornography).
  - Substance abuse or misuse.
  - Violence or displayed threatening behaviour.
  - Other serious activities which affect public confidence.

For employees who are not registered with the SSSC Ark must inform the SSSC in the following circumstances

- If Ark dismiss a worker
- If an employee resigns and, had they not done so, Ark would have considered dismissing them
- If an employee abandons their job and, had they not done so, Ark would have considered dismissing them.
- Ark should notify SSSC when their own disciplinary process concludes.

### 6.2.11 Costs

Ark will meet the costs associated with applications to Disclosure Scotland as part of Ark's Recruitment process and as part of Ark's commitment to 3 yearly review checks.

Ark will meet the cost associated for each employee for their initial SSSC registration fee only. Employee must pay the fee and then claim this back via the Ark employee HR portal. Subsequent SSSC registration fees must be paid by the employee and cannot be claimed back.

Where an employee chooses to leave their employment with Ark within 6 months of their start date, Ark will deduct the cost of the SSSC from their final salary.

## 6.3 Eligibility to work in UK

In order to meet the requirements of Section 8 of the Asylum and Immigration Act 1996, Ark are required to make basic document checks on every person they intend to employ. This legislation is provided for the prevention of illegal working in the UK. Therefore Ark requires everyone who is applying for a position to provide relevant documentation even if they are a British citizen.

As previously stated when applicants are invited to interview, they are sent a letter informing them of the details of the interview and, in addition, they are sent a 'Candidate ID Checklist'. ID must be current and valid eg Passport or Driving licence must not be expired and any utility bills or address ID must be dated within the last 6 months.

The Home Office provides employers with clear guidelines on what identification is sufficient to accept in order to fulfil any legal obligations. The HR Team can advise managers on what documentation is acceptable to satisfy UK work eligibility criteria.

With effect from 1 January 2021 guidance must be sought from [www.gov.uk](http://www.gov.uk) regularly to ensure Ark are adhering to the rules and regulations of living and working in the UK.

## 6.4 Proof of Qualifications

For any posts within Ark for which a specific qualification is essential an appointment would not be confirmed until an original qualification has been verified. The recruiting manager



should take a photocopy of the original document, certify it and send the copy to the HR Team.

#### 6.4.1 Registration

All Care and Support posts meet the requirements of both the Care Inspectorate and the Scottish Social Services Council. All employees will have to register with the SSSC within the first three months of employment. Further information can be found by contacting the Learning and Development Team.

### 7.0 Confirming an Offer

Prior to confirming an offer the candidate must have met all of the requirements discussed in section 6. All candidates are advised in the Conditional Offer not to resign from their current employer until all of these requirements have been confirmed as received and satisfactory and on no account should start dates be finalised with a candidate prior to this point.

#### 7.1 Unconditional Offer

At this stage the Principal Statement of Particulars of Employment, which details the start date and terms and conditions of employment, will be sent to the candidate in duplicate and the candidate asked to sign the documents and return one copy to signify acceptance. In addition, the candidate also receives a formal covering letter Ark's Code of Conduct, SSSC Code of Conduct, Employee Assistance Programme leaflet, SSSC Registration pack, Employee Handbook and a copy of Payments and Benefits Policy to sign and return. The Principal Statement of Particulars of Employment must be issued to the candidate no later than their start date.

#### 7.2 Withdrawing an Offer of Employment

If circumstances arise which require the manager to consider withdrawing any offer of employment, e.g. unsatisfactory references or obtaining the relevant pre-employment checks are taking too long the recruiting manager should contact the HR Team for guidance. Offers of employment will be withdrawn once HR and the manager have discussed the reasons why.

## 8.0 Induction

A suitable Induction Programme should be prepared for a new employee, which includes information on the organisation, their job role and responsibilities, what is expected of them, their rights and benefits. Support can be provided from the Learning and Development team on inductions.

## 9.0 Equality & Diversity Opportunities

### 9.1 General

Equality of opportunity will enable Ark to reach the broadest labour market and so find the best person for the job focusing on a person's abilities, skills, experience and qualifications to do the job effectively. Having an Equality and Diversity Policy HR04 (which complies with the Equality Act 2010) in place and acting upon it will ensure that Ark is working within the legal boundaries and so avoid any unnecessary legal cases. However, Equal Opportunities is about far more than simply making sure Ark does not fall foul of anti-discrimination legislation. It is about ensuring that people are treated fairly and with respect.

Ark will ensure that equality and diversity practices are integrated into every stage of the recruitment and selection process and that all staff involved at any stage in the recruitment and selection process will receive equality and diversity awareness training. This will ensure that those involved in the recruitment process will not discriminate either knowingly or unknowingly by asking any questions which may lead to discrimination.

### 9.2 Occupational Requirement

Where there is an 'Occupational Requirement' to employ a person with a particular characteristic such as a particular sex, certain very limited exceptions from the regulations are permitted covering selection, promotion and training. Where this is the case Ark will demonstrate that there is a genuine need taking account of the type of work, or the context in which the work is carried out. For example where a service user requires intimate personal care there may be a requirement to recruit someone of a specific sex. Where this may be the case the recruiting manager must give full consideration to the case taking into account the existing staffing complement and the specific needs of the service user. The manager will be required to submit a detailed explanation to the HR Department at the start

of the recruitment procedure and this will be verified by a Human Resources Business Partner.

Ark is committed to promoting an environment of respect, understanding, encouraging diversity and eliminating discrimination by providing equality of opportunity for all. Throughout Ark there will be a consistent approach in promoting equality and diversity across all areas through the entire employment relationship beginning with the recruitment process. See Ark's Equality and Diversity Policy HR04 for further information.

Where it is shown to be required, Ark will consider implementing Positive Action measures in relation to employment.

### 9.3 Legislation

There is an increasing amount of legislation covering the rights of employees to equality of opportunity, most recently the Equality Act 2010. It is essential that selection criteria and employment conditions are fair and non-discriminatory. Anti-discrimination legislation covers all the pre-employment stages of recruitment as well as when the employee is in post. A number of government bodies exist at present to ensure compliance with the laws and provide support to employers, employees and individuals. Equal opportunities and diversity legislation is designed to ensure that recruitment and employment practices do not discriminate against particular groups of people in society. Breach of the legislation could lead employers to be taken to an employment tribunal.

Ark has incorporated current appropriate legislation into this procedure and the Equality and Diversity Policy HR04.

## 10.0 Recruiting through an agency for Priory functions.

### 10.1 Responsibility

It is the recruiting managers responsibility to source the agency they wish to use. The recruiting manager is also responsibility for agreeing the terms of business with the agency including the costs Ark will incur. HR must be informed if you reach out to a recruitment agency to recruit as the procedure as outlined above must continue to be followed.

## 10.2 Selection

When using an agency they will provide CVs. Once the candidates have been selected through CV screening Ark application forms must be completed prior to interview.

## 10.3 Appointment

After offer has been made the normal R&S procedure as outlined above must be followed.

### Providing Employment References – Current/Previous Ark Employees

This applies to any reference requests that managers are asked to provide on behalf of Ark.

Reference requests on behalf of Ark must only be given by managers working in partnership with HR.

As employers, managers have a duty of care to provide an accurate and honest assessment of a staff member's ability. Responses to questions should be factually correct. Vague personal statements or opinions which could be construed as subjective or ambiguous should be avoided. If managers are in any doubt about the information they are providing they should seek further advice from HR.

Under the Data Protection Act (2018) individuals are allowed to see the contents of their personal file and you should bear this in mind when completing a reference form.

Some organisations may still make reference requests asking for information on an employee's sickness/medical records. In line with the Equality Act 2010, Ark does not request such data in relation to applicants. Data relating to an employee's medical condition is classified as sensitive personal data (Data Protection Act 2018) therefore caution must be taken by managers in providing such information. The consent of the individual should be sought when dealing with such requests.

Disclosing information relating solely to the number of days of absence will not amount to the processing of sensitive personal data. However, merely stating the number of days absent may not give a fair overall impression, particularly if there has been a high level of absence e.g. due to hospitalisation. In cases such as these it is advisable to discuss the response to this question directly with the employee, to ensure that the response is accurate, factual and creates an overall fair impression.

If you only have a limited working knowledge of the individual you are being asked to provide a reference for, you should state this on the reference. Contact HR to agree a reference.

Where a reference is requested on a former employee who worked for Ark some time ago, and there is no manager who has direct knowledge of that individual, it may only be possible to confirm factual information. Ark's standard reference pro-forma should be used in these occasions. HR will work with you to agree a reference.

Where an employee has been dismissed or has resigned whilst disciplinary action is pending, the Head of People and Organisational Development must be consulted before a reference is given.

A former employer may be exposed to a claim from a subsequent employer if there is a serious issue of gross misconduct which the former employer omits to mention. The main point is that the reference must be true, accurate and fair in substance and therefore must mention the negative issue e.g. the gross misconduct or events giving rise to a disciplinary process, in a way which is overall accurate and correct. Providing a bare minimum reference in situations such as these, should be avoided as a means of concealing something serious. All such cases should be referred to the Head of People and Organisational Development.

The referee should ensure that:-

- The facts provided in the reference are factually accurate. If unsure about any information, including dates of employment, please contact your HR Team.
- The reference should only answer the information requested.
- The reference should be honest, based on fact and fall within the referee's professional judgement.
- Statements should be direct and simple, avoiding the use of ambiguous language.
- Any sensitive data should be excluded i.e. – information which related to an individual's physical or mental health, ethnic or racial origin, religious beliefs, sexual orientation or trade union membership.

## 11.0 Implementation and Review

### 11.1 Implementation

The Head of People & Organisational Development is responsible for ensuring this procedure is implemented when required.

### 11.2 Review

The Head of People and Organisational Development will ensure that this procedure is reviewed at least every three years.



## Appendix 1 Recruitment Confirmation

Vacancy Code:: \_\_\_\_\_

### Vacant Position Details

Position Title	
Salary	
Location	
Position Status	<input type="checkbox"/> Permanent <input type="checkbox"/> Temporary (specify time frame):
Hours	<input type="checkbox"/> Full time <input type="checkbox"/> Part time (specify hours):
Reason for Vacancy	<input type="checkbox"/> Resignation* <input type="checkbox"/> New Position <input type="checkbox"/> Other:
Previous Post Holder*	
COVID Recruitment Process	<input type="checkbox"/> Yes <input type="checkbox"/> No
Reasoning for COVID Recruitment (Detailed)	

### Recruitment Plan Details

Advertising Details	<input type="checkbox"/> Internal    Current Vacancies  <input type="checkbox"/> Standard External Advertising - <u>no</u> cost & vacancies will automatically be listed on:    ARK Website    Job Centre    Facebook <i>(check if available)</i>  External Advertising - <u>with</u> cost
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Job Websites (specify): <input type="checkbox"/> S1 Jobs (£499.50) <input type="checkbox"/> My Job Scotland (£100.00)			
<input type="checkbox"/> External Print (specify): _____			
<input type="checkbox"/> Other, please specify: _____			
Cost Code		Location Postcode	
Advertising Date		Applications Close	

Request & Approval Details

Requested by		Employee ID No.	
Position			
Person Spec Reviewed/ Updated?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

HR DEPT. USE ONLY: Logged / Recorded

Resource Link	Current Vacancies	Vacancy Files Created	ARK Website	Job Centre
My Job Scotland	Indeed	S1 Jobs	Other	HR Asst. Initials / Date



## Appendix 2 People Connected to you Process

1. Check Selection Details spreadsheet if any of the candidates are related to any current employee's.
2. Check the candidates application form for who they are related to and log this in the comments section of the Selection Details spreadsheet. For example: candidate XX is the mother/daughter/brother of employee XX,
3. If applicant is successful- Recruitment Manager must complete a 'People connected to You' form and submit to HR Recruitment Assistant. Extra duty of care (EDOC) **not** required at this time.
4. HR checks over form. If the applicant and current employee fall into Group 1 and Group 2 in the table **below** advise manager to complete EDOC. Go to step 6.
5. If the relationship falls into Group 3. Save 'People Connected to You' form in employee file and mark on the Register of Interests spreadsheet (saved here: OD > Reception > Recruitment & Selection > Related New Starts). **No EDOC required.**
6. EDOC to be returned to appropriate HR Business Partner for approval
7. When candidate's start date is confirmed, enter their details on the Register of Interests spreadsheet (saved here: OD > Reception > Recruitment & Selection > Related New Starts).
8. Send EDOC back to recruiting manager to share a copy with both employees for their records.

Group 1 Members of your household	Group 2 People closely associated with you	Group 3 Others you need to consider
Anyone who normally lives as part of your household, whether they are related to you or not, including spouses/partners who work away from home and sons and daughters who are studying away from home	<ul style="list-style-type: none"> <li>• Parents, parents-in-law and their partners</li> <li>• Sons and daughters; stepsons and step-daughters and their partners</li> <li>• Brothers and sisters and their partners</li> <li>• A partner's parent, child, brother or sister</li> <li>• Grandparents, grandchildren and their partners</li> <li>• Someone who is dependent on you or whom you are dependent on</li> <li>• Close friends</li> </ul>	<ul style="list-style-type: none"> <li>• Other relatives (e.g. uncles, aunts, nieces, nephews &amp; their partners)</li> <li>• Other friends (e.g. someone you are acquainted with socially, neighbours, business contacts/associates)</li> </ul>

\*EDOC to be completed under following circumstances\*

- Connected people working in the same service
- One of the employees is a CSM or above in the organisation
- Those in **group 1** and **2** from table above

Only 1 form to be completed covering both employees concerned.

If 'connected people' work in same local authority but a different service the 'People Connected to You' form is adequate as long as this question has been completed...

If the employees above work in different locations but provide service cover e.g. Southouse and Oxfangs, have both managers been informed not to use both employees on the same shift supporting the same service users whilst providing cover?

Yes  No  N/A

## Appendix 3 People Connected to You New Employee

**New Employees Name (1)** \_\_\_\_\_

Position applied for            SW  RSW             ROM  CSM

Other (Please detail)  \_\_\_\_\_

Service/Location            \_\_\_\_\_

Who will they report to \_\_\_\_\_

CSM of Service if different from above \_\_\_\_\_

**Who is (1) connected to** \_\_\_\_\_ (2)

Job Title                      SW  RSW                       ROM  CSM

Other (Please detail)  \_\_\_\_\_

Service/Location            \_\_\_\_\_

Who do they report to \_\_\_\_\_

CSM of Service if different from above \_\_\_\_\_

What is the relationship between 1 and 2 above: (please tick and detail below)

- Anyone who normally lives as part of the household (whether related to you or otherwise)
- Those who are part of the household but work or study away from home
- Relatives
- Relatives partner (i.e. sisters husband)
- Partners (if not part of household)
- Partners close relatives (i.e. parent, child, brother or sister)
- Close friends
- Anyone you are dependent upon or who is dependent upon you
- Other relative (i.e. aunt, uncle, niece, cousin)
- Other friends (such as neighbours, someone you know socially or business contacts/associate)

How is 1 connected to 2? *Eg 1 is 2s Mother*

Detail exact connection \_\_\_\_\_

If you are unsure of the above, please contact the HR team.

Do the employees above have any direct or indirect line management or supervision responsibility with each other?

Yes  No

If Yes, please give details Below

If the employees above work in different locations but provide service cover e.g. Southhouse and Oxfams, have both managers been informed not to use both employees on the same shift supporting the same service users whilst providing cover?

Yes  No  N/A

Name \_\_\_\_\_  
Signed \_\_\_\_\_  
Date \_\_\_\_\_

Please send this form back to HR who will advise net steps, if any.

HR TEAM SECTION ONLY

Connected People Authorised Yes  No  Authorisation not required

Authorised by \_\_\_\_\_ Position \_\_\_\_\_  
Signed \_\_\_\_\_  
Date \_\_\_\_\_

## Appendix 4 Risk Assessment of PVG/Disclosure Information

If appointed, this form will be retained in the employee's personal file as evidence that a risk assessment has taken place. The form must not contain details provided on the PVG/Disclosure certificate.

Name of Candidate:	Post:
Department:	Post Reference:
<b>Level of Disclosure</b> (PVG, basic, standard or enhanced disclosure):	PVG Membership/Disclosure number:  Issue Date:
Recruiting Manager name and post title	

Risk Assessment Checklist	
Where possible answer Yes or No to the questions and provide details where appropriate	
Are the convictions/offences relevant to the post applied for?	
Is the Disclosure information of a serious nature? Indicate why you believe this to be the case?	
How long has it been since the last offence or other relevant matter and what was the age of the person at the time?	
Does the Disclosure information indicate an isolated offence or a pattern of offending behaviour?	
Have the candidate's circumstances changed since the offence or other relevant matter?	
Has the candidate shown any insight into their behaviour?	

Has the candidate lived out with the UK in the past 5 years and are they able to provide a criminal history?	
Does the post present any opportunities for the candidate to reoffend in the workplace?	
Is action required to minimise the risk of reoccurrence of offending behaviour in the post?	
If the candidate is 'under consideration for listing' by Disclosure Scotland indicate whether or not this affects their suitability for the post.	

Date of conversation with candidate on outcome of risk assessment	
---	--

Please tick relevant box	
Following consideration of the information provided by Disclosure Scotland and discussion with the Nominated candidate I am satisfied that the candidate <b>is suitable to work</b> with vulnerable service users in this post and <b>recommend that the candidate is appointed.</b>	
Following consideration of the information provided by Disclosure Scotland and discussion with the Nominated candidate I am satisfied that the candidate <b>is not suitable</b> to work with vulnerable service users in this post and <b>recommend that the conditional offer of employment is rescinded.</b>	
Recruiting Manager's signature	
Print name and job title	



Date	
------	--

Please tick relevant box. Following consideration of the risk assessment process I confirm that:	
a) The appointment should proceed	
b) The offer of employment should be rescinded	
Manager's signature	
Print name and job title	
Date	

Appendix 5 PVG/Disclosure/Reference Risk Assessment

SECTION A – THE POST

(To be completed by Manager)

Post Title : ..... Location .....

Post Holder (*if known*) ... ..

SECTION B – COMMENCEMENT OF EMPLOYMENT : RISK ASSESSMENT

(To be completed by Manager)

The PVG/Disclosure process may take up to three weeks to complete. Do you wish the individual to commence in post before their PVG/Disclosure is received?

**Yes/No**

If yes, does the post holder have 2 satisfactory references? **Yes/No**

Has HR opened the criminal convictions form? **Yes/No**

If yes and details were given have these been discussed with the post holder?

**Yes/No/NA**

Please detail any potential risk and confirm you are satisfied the candidates explanation.

What are the consequences of any delay in the post holder starting work?

Following appointment, what exposure is the post holder likely to have to vulnerable adults (Service Users) whilst awaiting PVG clearance?

What supervision arrangements do you intend to put in place to ensure the protection of Arks service users

Signed : ..... Date: .....

SECTION C - AUTHORISATION

(To be completed by the HRBP)

I confirm that: (please indicate)

permission is granted for the appointee to take up the post provided they do not undertake any work that may put Ark at risk until the PVG/Disclosure has been received by Human Resources.

or

I confirm that the appointee must not take up the post until PVG/Disclosure is received.

Signed:

Date:

Print name: