

**TO: GOVERNANCE AND AUDIT COMMITTEE  
23 SEPTEMBER 2015**

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**EMPLOYEES CODE OF CONDUCT AMENDMENT  
Director of Corporate Services – Legal/Human Resources**

**1 PURPOSE OF DECISION**

- 1.1 This report seeks the endorsement of the Council to an amendment to the Employees Code of Conduct (“the Code”) introducing a requirement for all Council employees to declare the existence of criminal charges, cautions and convictions to their line manager

**2 RECOMMENDATION**

- 2.1 **That the provision outlined in paragraph 5.5 is added to the Employees Code of Conduct:**

**3 REASONS FOR RECOMMENDATION**

- 3.1 The recommendation follows a decision by Corporate Management Team in July to review and amend the practice of carrying out three yearly Disclosure and Barring Service (“DBS”) rechecks to posts where there is no statutory duty to do so. The imposition of a requirement on employees to disclose new convictions is expected to mitigate any risks thereby arising

**4 ALTERNATIVE OPTION CONSIDERED**

- 4.1 None

**5 SUPPORTING INFORMATION**

- 5.1 Currently, DBS checks are carried out on prescribed categories of employees whose duties require contact with young people and vulnerable adults either directly or via access to sensitive personal data. The checks take place upon an individual commencing employment with the Council and where s/he moves to a new and different role within the organisation.
- 5.2 The Council’s position on which posts required DBS checks was reviewed by Corporate Management Team in July this year at which point they considered their current approach to rechecks.
- 5.3 Whilst there is no statutory requirement to re-check in the majority of cases, it does exist for some non-employment cases ie taxi licensing and fostering/adoption and there is no suggestion that the rechecks should stop for those areas. There is no expiry date on a DBS Disclosure if the person remains in the same type of employment with the same employer. Increasingly Councils are redefining their position on rechecking because the landscape has changed over the last few years and the CQC and Ofsted no longer require it. The majority of the Berkshire Authorities do not perform automatic rechecks:

- 5.4 In deciding whether to continue with re-checks one of the issues for consideration by CMT was the Council's appetite for risk; it was clear that the risk to vulnerable adults and children would be very low were rechecks to be discontinued. It is true to say that there is an excellent network of information sources available to the Council which have, in the past, readily identified any occasion when an employee has fallen foul of the law. These include the local press, local police contacts, work colleagues, social networks, the Magistrates Court system etc. Therefore if an employee did commit any offence, particularly one which might prove problematic to their continued employment in a Regulated Activity, it is clear the Council would find out very quickly and be able to act accordingly.

During the time the Council has performed regular rechecks, there is no record of there having been any employee whose employment has been terminated due to new offences being detected through this process. This must inevitably lead to the conclusion that whilst the current approach is extremely risk-averse, it is committing the Council to significant expense at a time of restricted budgets with little evidence that it makes any material impact.

- 5.5 However CMT did agree that in order to mitigate any potential risks the Employees Code of Conduct should be amended to require employees to declare any criminal charges, cautions and convictions imposed upon them subsequent to their appointment. The suggested wording is as follows:

#### **Reporting of Criminal Charges and Convictions**

Where an employee is charged by the police for any offence or convicted in a court of law or issued with a caution on any matter that occurs during or outside of their work then they must report this immediately to their line manager.

A charge, conviction or caution for any offence may result in disciplinary proceedings being taken against the employee where, in the opinion of the Council, it;

- affects, or is likely to affect, the suitability of the employee for the position in which he/she is employed, or
- brings the Council into disrepute, or
- could, in the opinion of the Council, otherwise seriously undermine the trust and confidence that the Council has in the employee.

NB. There is no requirement for an employee to report to his line manager where they have received a fixed penalty notice for any offence, eg speeding offences, parking offences etc.

- 5.6 In order to underpin this approach, it is intended that additional offence is added to the list of Serious Misconduct outlined in the Council's Disciplinary Procedure specifying "the failure to disclose to line manager any charge, caution or conviction (not including fixed penalty notices) which affects or is

likely to affect the employee's suitability for the position in which they are employed"

## **6 ADVICE RECEIVED FROM STATUTORY AND OTHER OFFICERS**

### Borough Solicitor

6.1 The Borough Solicitor is the author of this report.

### Borough Treasurer

6.2 Nothing to add to the report.

### Other Officers

6.3 The Chief Officer: Human Resources comments are included in the report.

### Equalities Impact Assessment

6.4 Not relevant

### Strategic Risk Management Issues

6.5 Implementation of the proposal will serve to mitigate any risk arising from the fact that the Council no longer undertakes DBS rechecks except in those limited cases where there is a statutory requirement to do so.

## **7 CONSULTATION**

### Principal Group Consulted

7.1 The recommendation in this report will be considered by the Local Joint Committee and both the Employment Committee and Governance and Audit Committee

### Method of Consultation

7.2 Through this report.

### Background Papers

None

### Contact For Further Information

Sanjay Prashar – Borough Solicitor – 01344 355679  
e-mail: [sanjay.prashar@bracknell-forest.gov.uk](mailto:sanjay.prashar@bracknell-forest.gov.uk)