



## Ineligible Applications – Customer Services Process

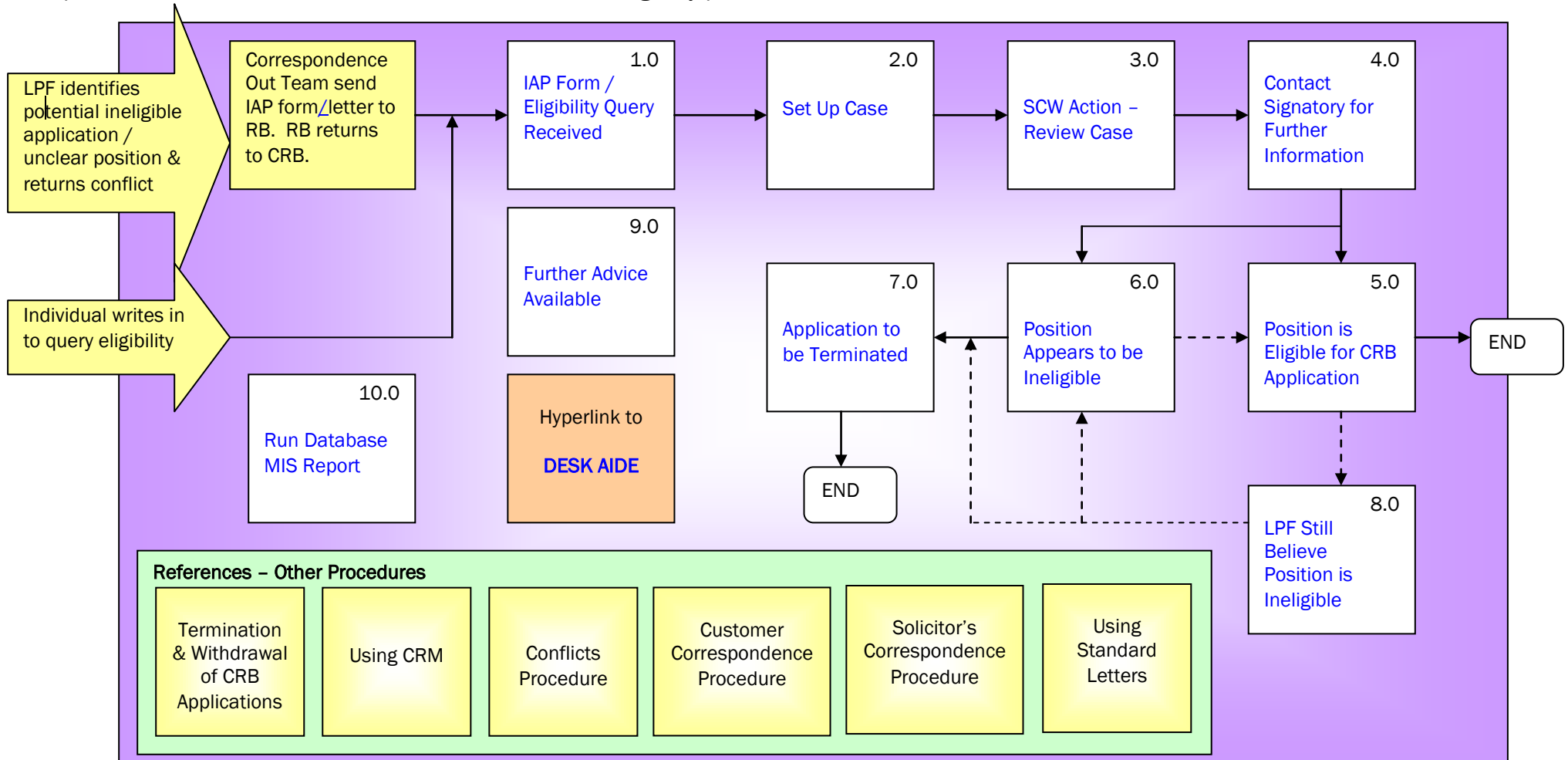
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**Date Published** **Bulletin Updates:**  
**Bulletin Title**

	<b>Changes to previous version:</b>
<b>Section</b>	<b>Change details</b>
1.0	Cust Servs no longer considering CJR conflict LPF4 letters for eligibility. Ref to CJR/LPF4 removed throughout document.
2.0	If application not received – monitored for receipt by Termination Team
6.0	If an application is thought to be ineligible but the CSig refuses to withdraw, CRB requests confirmation that CS has received relevant guidance & allows application to progress.
8.0	If LPF query returned conflict – PPM will advise that full audit trail of guidance & decision has been stored & that LPF should progress the application.

## Ineligible Applications – Customer Services Process

This procedure describes the Customer Services process when a potential ineligible application is identified by an LPF via conflicts or an external query is received relating to the eligibility of a position for a CRB check. The diagram below is a map, with each element of the process shown as a white box. Yellow boxes are other Agency processes.



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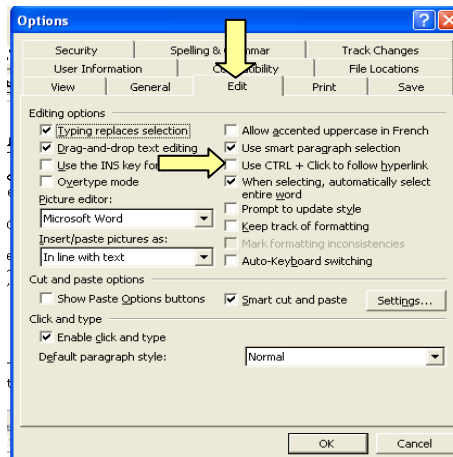
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## Procedure Navigation

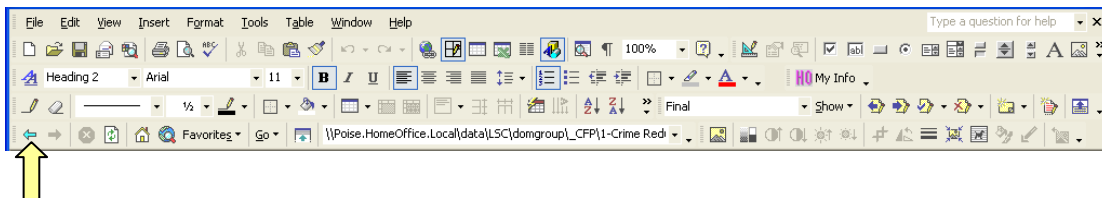
**Hyperlinks** – are used within procedure flowcharts and throughout the document. They are marked in blue and may be underlined e.g. [Contents Page](#).

- Click the blue text to go to the relevant part of the document.

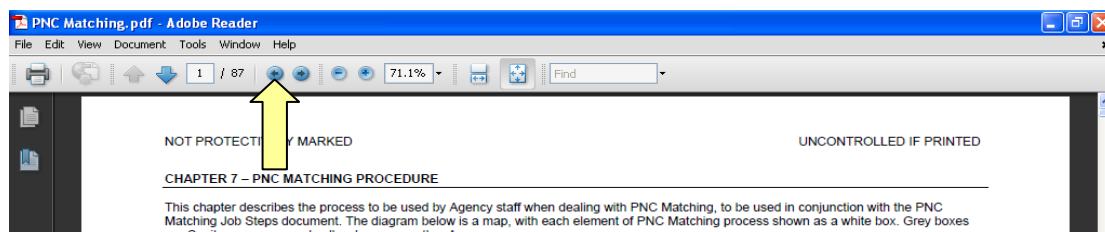
If this does not work, you can either Select 'Ctrl' and Click on the blue text or change the setting under 'Tools', 'Options', 'Edit' tab and remove the tick in the box 'Use Ctrl + Click to follow hyperlink'.



- To return to the original page, click the blue arrow that appears within the toolbar (see below).



- When viewing a PDF version of a procedure the navigation buttons appear as below. If the buttons do not appear automatically, right click a blank area of the toolbar. From the menu that appears select 'More Tools...' Scroll down and tick 'Previous View' and 'Next View', then click OK.



**Contents Page** – Clicking any heading or page number within the contents page will take you to that section of the procedure. Click the blue arrow as above to return to the contents page.

## Glossary

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The following is a list of commonly used abbreviations, acronyms and terminology.

Reference	Definition
CJR	Clarify Job Role – a conflict type
CRB	Criminal Records Bureau
CRM	CRB's Customer Relationship Management computer system
CSD	Customer Services Database
CSWA	Customer Services Work Allocation
CW	Case Worker
IAP	Ineligible Application
LPF/DU	Local Police Force/Disclosure Unit - responsible for dealing with and responding to 'Notify LPF Referral' for applications
MoJ	Ministry of Justice
PPM	Police Performance Manager
PNC	Police National Computer – Police technical infrastructure for maintaining criminal conviction details.
RB	Registered Body
SCW	Senior Case Worker

## Background

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Only positions listed in the Exceptions Order to the Rehabilitation of Offenders Act (1974) are eligible to apply for a Standard CRB check. For a position to be eligible for an Enhanced CRB check, it must also be a position listed in regulations made under the Police Act 1997. Occasionally Registered Bodies (RBs) request CRB checks for positions that do not appear to be eligible. This procedure describes the process where such positions are identified either by Local Police Forces via the conflict route (on Enhanced applications only) or by other external sources e.g. applicants or organisations acting on applicant's behalf.

Part V of the Police Act 1997 states that the legal responsibility for establishing that a certificate is required for the purposes of an exempted question, rests solely with the Countersignatory. If it is thought that a position is NOT eligible for a CRB Certificate, the CRB will provide relevant guidance to the Signatory to enable them to make an informed decision.

Part of the CRB application process allows LPFs to query information supplied within an application, or to provide further information on one. This is known as a 'Conflict'. If an LPF believes a position applied for is not eligible for a CRB certificate, they will raise an Ineligible Application (IAP) conflict (see Conflicts procedure for further information). LPFs can initially raise a 'Clarify Job Role' (CJR) conflict if they need further information on a position, before realising that it may be ineligible and raising an IAP conflict.

On receipt of an IAP conflict, CRB Agency's Operations Correspondence Out Team issue a letter and pro-forma to the Countersignatory explaining the importance of only submitting eligible applications and requesting further information on the position applied for of the conflicted application.

The Signatory is then expected to complete the pro-forma, either providing further information explaining why the position applied for is eligible, or advising that the application can be terminated. The pro-forma is received by the CRB Agency's Case Management Team who log the response and forward to the Customer Services Team.

Eligibility queries from applicants or their representatives relating to specific applications are also received by CRB Agency's Customer Services Team directly either via e-mail or written correspondence. These applications can either be in progress, already completed, or not yet received.

Any more general eligibility queries (usually submitted by Registered Bodies) should be handled as per the Customer Correspondence Team procedure.

## 1.0 IAP Form/Eligibility Query Received

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IAP forms will be received by the Case Management Team who will log the response as per the Case Management procedure, before passing the hard copy form to Customer Services. Case Management will only forward IAP forms where the RB wishes to continue the application. Any that indicate a termination request will be handled by the Case Management Team.

Application specific eligibility queries will be received and opened by the Agency Customer Services Team.

### 1.1 IAP Form Received

On receipt of a returned IAP response form, a Customer Services Senior Case Worker will:

- Record how many IAP forms have been received on the daily stats sheet.
- View the RB response to determine whether the position applied for has been clarified satisfactorily.
  - If further clarification / RB contact is required, pass the form to a Case Worker who will follow [2.0 – Set up Case](#).
  - If it is clear that the position is eligible, go to [5.0 – Position is eligible for CRB Certificate](#).

### 1.2 Application Eligibility Correspondence Received

Eligibility queries relating to a specific application should mostly be received via the Customer Services inbox ([customerservice@crb.gsi.gov.uk](mailto:customerservice@crb.gsi.gov.uk)) however some may be received via hardcopy letters from the applicant or a third party e.g. solicitor.

**Note:** These cases must receive an acknowledgement letter or e-mail as detailed within the Customer Correspondence or Solicitor's Correspondence procedures.

- View CRM to confirm whether the application has been received – if so; make a note of the CRM number.
- Go to [2.0 – Set up Case](#)

If the correspondence implies that an application form is not being submitted (e.g. the individual will not complete the form until eligibility is verified) it should be handled as per the Customer Correspondence Team procedure and the following text should be included in the response:

“As an application form has not yet been submitted to the CRB, we are unable to investigate the eligibility issue you raised. If you have been asked to apply for a CRB check but have not yet completed an application form due to your concerns about its eligibility, you could contact organisations who can give independent advice on the provisions of the Rehabilitation of Offenders Act and its exceptions, e.g. NACRO, Unlock, The Apex Trust or the Citizens Advice Bureau. Further information relating to eligibility

can be found on the following Home Office website page:

<http://www.homeoffice.gov.uk/publications/agencies-public-bodies/CRB/about-the-crb/eligible-positions-guide>

If, after seeking independent advice or reading guidance, you are still concerned you should raise this matter with the Ministry of Justice at [ROA@Justice.gsi.gov.uk](mailto:ROA@Justice.gsi.gov.uk)”

No further CRB action is required on these cases.



## 2.0 Set up Case

The Customer Services Case Worker will:

- Access the Customer Services Database (CSD) located on **CRM / F Drive / Customer Contact / Customer Contact / New CSD**.
- From the database main menu, click the 'New Case' button and in the 'Category Code' field, select 'P8 – Ineligible Applications' or 'P10 – Applicant Eligibility' depending on where the case originated.

- Click the 'Open form' button to the right of the category code field to bring up the 'Ineligible Application Details' form.
- Only tick the 'Application Submitted' button if the application appears on CRM.
- Complete as many fields as possible and then click 'Close Form'.

**IMPORTANT:** If the application is on CRM and is currently 'In Progress', the Case Worker must access the Maintain Application screen and tick the Sampling Flag. This ensures that the application will not complete before the eligibility query is resolved. The Case Worker must add the following note to the Contact Centre: **'\*\*\*FAO Sampling\*\*\* – Eligibility query received and under investigation. DO NOT COMPLETE until further notice.'**

**Note:** When entering the Position Applied for, this is taken from the IAP form. If handling an applicant eligibility query, it should be obtained from the applicant's record on CRM (if there is one) even if the applicant states their job title in the letter. If there is a difference between the two, details should be entered into the notes field.

- In the 'Agent' field on the main database screen, select 'Senior Case Worker'.

- Create an e-mail and send it to the Customer Services Shared inbox ([customerservice@crb.gsi.gov.uk](mailto:customerservice@crb.gsi.gov.uk)). Add a note advising that the form/letter has been scanned onto Poise. Include the database reference number in the subject line along with the following information as relevant:
  - For IAP forms, enter 'IAP'.
  - For applicant queries, using information within the letter, search for the applicant's CRM record and enter 'Applicant Eligibility Query' and the CRM number in the subject line. If a CRM record cannot be found, enter 'No CRM record'.
- Scan the hard copy mail onto **Poise F Drive / CFP / 1 / 11 / 007 / 004 / 001 / <folder for current year> / 14 / 01**. The file name format should be <First 5 digits of surname>, reference number, <L, E, or F for Letter, E-mail or Fax> e.g. BENNE12345L.

The IAP forms and applicant letters will be stored securely on the section in the IAP BF folder.

The case is then taken forward by the Customer Services Case Worker (Reviewer).

As well as IAP e-mails, applicants can also e-mail eligibility queries directly to the inbox. On the day of receipt, a Customer Services Case Worker (Reviewer) will search the shared inbox for any IAP e-mails or applicant eligibility queries.

The Case Worker will log applicant eligibility e-mails onto the database in the same way as described on the previous page, before continuing below.

- Transfer the e-mail to the 'SCW Enquiries' folder in Outlook. If the e-mail is from an applicant, change the subject line to 'Applicant Eligibility Query'. Print the applicant e-mail out twice and send one copy to be scanned onto CRM. The other will be stored securely on the section.

**Important:** The Customer Services Case Worker should consider whether all of the information provided by an RB within an IAP response form is relevant to the eligibility issue. For example, if a Signatory has provided information relating to an applicant's criminal record, this should be blanked out using a black marker pen. This is to ensure that PNC matching decisions are not influenced by unofficial information.

The Customer Services Team Leader will then access the 'SCW Enquiries' folder in Outlook and will allocate work as required to their Senior Case Workers (SCW) by transferring the e-mail to the SCW's own folder within Outlook.

**Application Not Yet Received:**

If the application has not yet been received on CRM, inform the Withdrawal Manager by e-mail that the application has not yet been received by the CRB, but should be withdrawn on receipt. The Withdrawal Manager will then monitor daily for receipt.

### 3.0 SCW Action - Review Case

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On receipt of an IAP/Applicant Eligibility Query e-mail in their folder within Outlook, the SCW will:

- Access the applicant's record on the Customer Services Database.
- Change the 'Agent' field to their own name.
  - If handling an applicant eligibility query, go to [3.2](#)
  - If handling an IAP case, continue below.

#### 3.1 Review IAP Case

- Locate the scanned image of the IAP form from within the IAP BF folder and consider the information provided by the RB.
- Check for any relevant notes on the applicant's record on CRM.

**Note** – The SCW should consider the information provided by the RB against the following:

- Nature of the work carried out
- Nature of the establishment where the applicant will be working
- Frequency of contact with Children/Vulnerable Adults

This list is not exhaustive. The SCW may also investigate the Policy Enquiries database for further information: **Poise F Drive:\_CFP / 1 / 11 / 007 / 010 / 006 / 01 / 01.**

If satisfactory information has been provided and the position appears to be eligible for a CRB certificate, go to [5.0 – Position is Eligible for CRB Certificate](#).

If the position appears not to be eligible, or there is not enough information to make a decision, the Signatory must be contacted. Go to [4.0 Contact Signatory for Further Information](#).

#### 3.2 Review Applicant Eligibility Query

The SCW will:

- Read through the hardcopy letter or e-mail sent by the applicant.
- Locate the applicant's record on CRM.
- View the Maintain Application screen and confirm the application status.

Continue to [4.0 - Contact Signatory for Further Information](#).

## 4.0 Contact Signatory for Further Information

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If the position appears to be ineligible, or there is not enough information to make a decision, the SCW will initially try to contact the Countersignatory by telephone. If they are not able to get in touch, the SCW will send a 'Request to Contact' letter to the Signatory advising that they telephone CRB, giving 28 days notice before the application is terminated.

Before contacting the Signatory, the SCW should:

- View the Conflict History screen within the applicant's record on CRM.

Occasionally LPFs provide further explanation within the conflict notes of why they believe the position is not eligible. This can then be discussed with the Signatory.

### Contacting by telephone:

When making telephone calls to Signatories, agents must follow the Telephone Security Questions Procedure to ensure that they are speaking to the correct person before discussing the case further.

**IMPORTANT:** If handling an applicant eligibility query, the SCW must NOT inform the Signatory that the query has been raised by the applicant (unless the applicant has specified that it is OK to do so). If necessary advise them that a quality assurance exercise is being carried out.

Other than in the above scenario, the telephone call must be tailored according to how the query originated and the status of the application.

- If contact is made with the Signatory at the first attempt, go to [4.1 – Contact Made by Telephone](#).
- If contact is not made, continue below.

If the Lead/Countersignatory is not available to speak on the telephone, the 'IAP Contact Letter' will be issued either by e-mail or post. If an e-mail address can be obtained for the Signatory, the letter template text (**Poise F Drive: / \_CFP / 1 / 11 / 007 / 004 / 001 / 24 / 01**) will be copy and pasted into an e-mail. If sending by post, the same template is located on **CRM F Drive / Customer Contact / Customer Contact / IAP folder**.

**NOTE:** The template includes text for both IAP and applicant eligibility queries. Remember to remove sections that are not relevant to the case you are working on.

### Sending letter by post:

- Copy the text within the 'IAP Contact Letter' letter template.
- Within the applicant's record on the CRM Contact Centre, open up a CRB201 blank letter template and paste the copied text.
- Ensure all relevant Countersignatory name, address and reference numbers are included.
- Add your telephone extension number to the letter.
- Add 'IAP' to the CRB letter reference number (top right) so that it appears 'CRB201 IAP'.

- Issue the letter to the Countersignatory who submitted the application.

For letters and e-mails, the SCW will:

- Add a note to the Customer Services Database explaining that you were unable to contact the Signatory by telephone and that the 'Request to Contact' letter has been issued.
- Add the same note to the applicant's record on the CRM Contact Centre. Also add your name and extension number so that the customer can be transferred to you when they make contact.
- If sending the letter as an e-mail, print the e-mail out and store it in the relevant case file.
- Set a 14 day BF within the Customer Services Database.
- Return the IAP form to the IAP BF folder.

This letter asks the Signatory to contact Customer Services to discuss the eligibility issue and gives 14 days notice for the Signatory to do this before the application is terminated.

If there is no response from the RB within the 14 days, go to [7.0 – Application to be Terminated](#).

#### 4.1 Contact Made by Telephone

If the SCW is able to contact the Signatory by telephone initially, or the Signatory contacts Customer Services after receiving the letter, further information must be sought relating to the position applied for.

**Remember:** The Telephone Security Questions Procedure must also be followed when receiving calls from Signatories.

If the Signatory contacts anyone other than an SCW, the person receiving the call should not try to resolve the issue. Instead they should transfer the call to an SCW or take a message and pass along to an SCW.

The SCW will:

- Question the Signatory to gain the information required to make a decision. If the Signatory has telephoned on receipt of the 'Request to Contact' letter, locate the hard copy IAP form/applicant correspondence from the IAP BF folder for information on what is required.

If during the conversation you find evidence that the post is not eligible, you should explain this to the Signatory and ask them if they agree that the application should be terminated.

- If you now believe the position is eligible, obtain the Signatory's e-mail address in order to send a confirmation e-mail. End the conversation and go to [5.0 – Position is Eligible for CRB Certificate](#)
- If it is not clear that the position is eligible and the Signatory does not wish to terminate the application, go to [6.0 – Position Appears to be Ineligible](#)

- If the Signatory agrees that the application can be terminated, continue below.
- Remove the BF from the Customer Services Database.

## 4.2 Signatory Agrees to Termination

The SCW will:

- Obtain an e-mail address for the Signatory and advise them that confirmation of the decision will be sent. End the telephone call. If it is not possible to obtain an e-mail address, the template below should be added to the CRB201 CRM template (with appropriate amendments made) and posted to the Signatory with a business reply envelope.
- Access the 'Termination Template' stored on **Poise F Drive / CFP / 1 / 11 / 007 / 004 Comms / 001 Customer Correspondence / 24 IAP**
- Complete relevant Signatory and applicant fields and enter details of the telephone conversation to explain why the decision to terminate the application was made.
- Send the e-mail to the Signatory and save it in **POISE F Drive / CFP / 1 / 11 / 007 / 004 Comms / 001 Customer Correspondence / <Year> / <Month>**.
- Print a copy of the e-mail and store it with the original correspondence in the case file.

This template provides a clear audit trail that the Signatory has agreed to the termination. The Signatory has 10 days to respond.

- Note details of the conversation in the applicant's record on the CRM Contact Centre and in the Customer Services database.
- Within the database set a 10 day BF to await the Signatory's response.

On receipt of the confirmation e-mail:

- Print the e-mail out and send it to be scanned onto CRM along with other correspondence within the case file.
- Save the e-mail in **POISE F Drive / CFP / 1 / 11 / 007 / 004 Comms / 001 Customer Correspondence / <Year> / <Month>**. Use the database reference number as the file name.
- Update the CSD stating that the 'Termination Confirmation e-mail' has been saved to the folder above.
- Close the BF and go to [7.0 – Application to be Terminated](#).

If there is no response from the Signatory within 10 days, the BF reminder will appear in the Customer Services Database. The application should then be terminated.

- Update the CSD accordingly.

Now go to [7.0 – Application to be Terminated](#).

## 5.0 Position is Eligible for CRB Certificate

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If at any point of this process the position applied for is deemed to be eligible, the steps below will be completed.

The SCW will:

- Locate the applicant's record on the CRM Contact Centre.
- Add the following note and save:

*“POSITION ELIGIBLE: The Registered Body has provided the following additional information to support the eligibility of the CRB check:-*

*{ENTER DETAILS OF DISCUSSION WITH REGISTERED BODY}*

*As a result, the CRB is satisfied that sufficient evidence has been provided to suggest that this position is eligible for a CRB check.*

*Please continue to process this application.”*

**NOTE:** If the case originated from an applicant's query and is still in progress on CRM, remember to put 'FAO SAMPLING' at the start of the above note.

- Add same note above to the Customer Services database (copy and paste).
- Click the 'Open form' button to the right of the category code field to bring up the 'Ineligible Application Details' form.
- Place a tick in the 'Eligible' box at the bottom of the form and close the screen.

If the Signatory has been contacted as part of this process, the 'IAP App Eligible' template must be completed and e-mailed to the Signatory. The template is located on **Poise F Drive / CFP / 1 / 11 / 007 / 004 / 001 / 24 / 01** and provides an audit trail as to why the position is thought to be eligible.

After sending, the e-mail must be saved in **POISE F Drive / CFP / 1 / 11 / 007 / 004 Comms / 001 Customer Correspondence / <Year> / <Month>**.

- Print a copy of the e-mail out and store with the case file.
  - If handling an applicant raised eligibility query, go to [5.2](#)
  - If handling an IAP case, continue below.

### 5.1 Eligible IAP Case

The SCW will:

- Pass the IAP form letter to the Customer Services Case Worker.
- Send all other correspondence to be scanned onto CRM.

The Case Worker will update the daily spreadsheet so that the relevant Production Team know to return the conflict back to the LPF advising that the position is eligible and that they should continue with their checks:

- Access the daily spreadsheet located on **CRM / F Drive / LPF Correspondence / IN Corres / CRM Numbers <year>**
- Access the tab for today's date and enter the CRM number under their name.
- Save the spreadsheet.
- The IAP form must then be destroyed securely.

Work Allocation agents on the Work Management Team will then allocate the relevant notifications to agents on the relevant Production Team.

The Production team will view the notification and will copy and paste the CRM note above and the explanation into the conflict response to be returned to the LPF. The LPF is then expected to continue with their checks.

No further action is required by Customer Services.

## 5.2 Eligible Applicant Query

If the case originated from an applicant eligibility query, the SCW will:

- View the application status on the Maintain Application screen.

If the application is at the Sampling stage on CRM:

- Inform the Sampling Team that the application can now be progressed. They will then complete the Sampling notification so that the application completes.
- Respond to the applicant's query as per the Customer Correspondence procedure.

If the application has either completed or is in progress but has not yet reached the sampling stage:

- Add notes to CRM (if necessary "FAO Sampling")
- Respond to the applicant's query as per the Customer Correspondence procedure. Ask applicant for confirmation of whether they wish to continue with the application.



## 6.0 Position Appears to be Ineligible

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If during the conversation with the Signatory, it is not clear that the position is eligible, and the Signatory does not wish to terminate the application, the SCW will:

- Inform the Signatory that you will send them an e-mail requesting confirmation of their decision. The Signatory must complete and return the confirmation to the CRB within 10 working days.
- Confirm/obtain the Signatory's e-mail address and end the conversation.
- Access the 'CSig Eligibility Template' located on **Poise F Drive / CFP / 1 / 11 / 007 / 004 / 001 / 24 / 01**.
- Complete all fields as relevant and enter details of the conversation.
- Send the template by e-mail to the Signatory.
- Save the e-mail that was sent in **POISE F Drive / CFP / 1 / 11 / 007 / 004 Comms / 001 Customer Correspondence / <Year> / <Month>**.
- Set a 10 day BF within the Customer Services Database.
- Add notes to the database relating to guidance given and the Signatory's decision.

### 6.1 Issue Reminder

If no reply is received after the 10 day BF date, a reminder e-mail will be issued:

- Access the 'Eligibility Reminders' template located on **Poise F Drive / CFP / 1 / 11 / 007 / 004 / 001 / 24 / 01**.
- Complete all fields as relevant.
- Send the template by e-mail to the Signatory.
- Save the e-mail that was sent in **POISE F Drive / CFP / 1 / 11 / 007 / 004 Comms / 001 Customer Correspondence / <Year> / <Month>**.
- Set a 10 day BF within the Customer Services Database.

If there is no response from the Signatory within 10 days, the application should then be terminated.

- Update the CSD accordingly.

Now go to [7.0 – Application to be Terminated](#).

### 6.2 Confirmation Received

On receipt of the confirmation e-mail:

- Print the e-mail out and send it to be scanned onto CRM along with any other correspondence within the case file.
- Save the e-mail in **POISE F Drive / CFP / 1 / 11 / 007 / 004 Comms / 001 Customer Correspondence / <Year> / <Month>**. Use the database reference number as the file name.

- Update the CSD stating that the e-mail has been saved to the folder above.
- Close the database BF.

If the Signatory has decided that the position is NOT eligible, go to [7.0 – Application to be Terminated](#).

If the Signatory confirms that the Certificate is still required, the SCW will:

- Locate the applicant's record on the CRM Contact Centre.
- Add the following note and save. The note text is located on **CRM F Drive / Customer RB Management Unit / IAP / Position Eligible** folder and can be copy and pasted into CRM.

“POSITION ELIGIBLE: Part V of the Police Act 1997 states that the legal responsibility for establishing that a certificate is required for the purposes of an exempted question, rests solely with the Countersignatory.

As a result of the CRB contacting the Countersignatory, and providing them with appropriate guidance to review the eligibility for this application, they have reaffirmed that a CRB certificate is required for the purposes of an exempted question to consider the applicant's suitability for the position applied for.

Therefore we have a duty to process this application and issue an enhanced criminal record certificate – Please continue with all relevant checks”.

The SCW will then follow the steps in [5.1 – Eligible IAP Case](#). A Case Worker will then update the daily spreadsheet so that the relevant Production Team know to return the conflict back to the LPF advising that they should continue with their checks.

## 7.0 Application to be Terminated

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If the application is to be terminated at any point of this process, the SCW will:

- If not done already, add relevant notes to the Customer Services database and the applicant's record on the CRM Contact Centre and save.
- Access the 'Terminate Application for Corres Out Team' template located on **Poise F Drive / CFP / 1 / 11 / 007 / 004 / 001 / 24 IAP**.
- Either complete the electronic copy and print out, or print out and complete manually.
- Forward the template via internal mail to the Operations Correspondence Out team.
- Send all other correspondence relating to the case to be scanned onto CRM.

The Correspondence Out team will then follow the 'Termination and Withdrawal of Applications' procedure and will issue relevant letters to the applicant and Signatory.

## 8.0 LPF Still Believe Position is Ineligible

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If after receipt of the IAP form and conversation with the Signatory, it is determined that the application should continue to completion, the relevant Production team returns the conflict back to the LPF to continue their checks. At this point, the LPF may still believe the application to be ineligible.

The LPF will e-mail details of the case to their CRB Police Performance Manager (PPM). On receipt of the e-mail, the PPM will:

- Review the case history from the e-mail. If necessary information relating to the guidance given to the Signatory can be sought from the Customer Services SCW.
- Advise the LPF that everything possible has been done to provide relevant eligibility guidance to the RB.
- Explain that the CRB has a clear audit trail confirming that the RB has made an informed decision on the eligibility of the position.
- Explain that the CRB cannot challenge the RBs decision to progress the check.

If the LPF still believe the position to be ineligible and will only progress the application with an approved information rider, the case should be referred to the senior PPM (SEO).

At this point, the LPF will be expected to continue with their checks as normal. The Standards and Compliance Unit (SCU) will monitor and report on approved information submitted relating to ineligibility.

## 9.0 Further Advice Available

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At any point of this process, the SCW can seek further advice on whether a position applied for is eligible, or the legislation relating to eligibility.

If necessary, the SCW can seek advice from the following sources:

- Another SCW
- Customer Services Senior Manager
- Policy (see [9.1 – Refer to Policy Team](#))

After consulting with the above sources, a decision should be made as to whether the position is eligible and the advice to be given to the Signatory.

- Log details of the advice in the Customer Services database.
- Add similar notes on the applicant's record on the CRM Contact Centre.
- Continue at the relevant point of the procedure.

### 9.1 Refer to Policy Team

The Policy Team will provide advice as to whether an application is eligible or not if Senior Managers on Customer Services are unsure about a position applied for. The SCW will:

- Complete the Policy Enquiries form located on **Poise / F Drive / CFP / 1 / 11 / 007 / 010 / 006 / 51 / 01**. Ensure that you include the IAP response form details, notes of the telephone conversation and feedback from Senior Managers so that Policy have all available information to enable them to provide relevant advice.
- E-mail the form to the CRB Policy Enquiries inbox. Enter 'IAP Query' in the subject line.
- Set a 5 day BF in the Customer Services database for a Policy response.
- Add notes to the database and the applicant's record on the CRM contact Centre advising that the position applied for has been referred to Policy.

The Policy Team will return the enquiry form with their response within 5 working days. On receipt, the SCW will:

- View the response and determine what advice should be given to the Signatory.
- Print the response out and store it with the case file.
- Continue at the relevant point of the procedure.

## 10.0 Run Database MIS Report

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On a monthly basis a report is run from the Customer Services database detailing all positions applied for that have been confirmed as ineligible. To run the report the Customer Services Team Leader will:

- Access the Customer Services Reports menu of the CSD.
- Enter the date range at the top of the page (1 month)
- Click the button for the 'Eligibility and Ineligible Applications' report
- Forward the report to the Policy Team by e-mailing to the CRB Policy Enquiries inbox and to the RB Account Management Team.

**DESK AIDE - IAP CONFLICTS – CUSTOMER SERVICES PROCESS**

**Customer Services Database (CSD):** CRM / F Drive / Customer Contact / Customer Contact / New CSD  
**Daily CRM Numbers Spreadsheet:** CRM / F Drive / LPF Correspondence / IN Corres / CRM Numbers <year>  
**Save e-mails in:** Poise F Drive / CFP / 1 / 11 / 007 / 004 Comms / 001 Customer Correspondence / <Year> / <Month>  
**Policy Enquiries Database:** Poise F Drive: / CFP / 1 / 11 / 007 / 010 / 006 / 01 / 01  
**Policy Enquiries Form:** Poise / F Drive / CFP / 1 / 11 / 007 / 010 / 006 / 51 / 01

**Letter/E-mail Templates**

Template Name		Template Location
No Application Form Received	3.3	CRM F Drive / Customer Contact / Customer Contact / IAP
Request to Contact	4.0	CRM F Drive / Customer Contact / Customer Contact / IAP
Termination Template	4.2	Poise F Drive / CFP / 1 / 11 / 007 / 004 / 001 / 24 / 01
IAP App Eligible	5.0	Poise F Drive / CFP / 1 / 11 / 007 / 004 / 001 / 24 / 01
CSig Eligibility Template	6.0	Poise F Drive / CFP / 1 / 11 / 007 / 004 / 001 / 24 / 01
Eligibility Reminders	6.1	Poise F Drive / CFP / 1 / 11 / 007 / 004 / 001 / 24 / 01
Position Eligible text	6.2	CRM F Drive / Customer Contact / Customer Contact / IAP

**1.0 – IAP Form/Eligibility Query Received – Cust Servs Case Worker:**

- If response is clearly eligible, go to 5.0. If case needs RB contact go to 2.0.
- Ensure that applicant/3<sup>rd</sup> party letters receive an acknowledgement letter.

**2.0 – Set up Case – Cust Servs Case Worker:**

- Add new case to CSD. 'Agent' field should be 'Senior Case Worker'.
- Create an e-mail for each case & forward to [customerservice@crb.gsi.gov.uk](mailto:customerservice@crb.gsi.gov.uk).
- Scan on to Poise CFP & store hard copy securely on the section.
- **2.1** – Case Worker action – Monitor CRM for receipt of application form

**3.0 – SCW Action – Review Case:****IAP Case –**

- Review IAP form considering:
  - Nature of the work carried out
  - Nature of the establishment where the applicant will be working
  - Frequency of contact with Children/Vulnerable Adults
- Review Policy Enquiries Database for further information if required. Go to 4.0

**Applicant Eligibility Query –**

- **Application 'In Progress'** - arrange for sampling flag to be ticked & add notes for Sampling Team to CRM.
- **Application not yet Received** – Arrange for CRM to be monitored daily for receipt. If no receipt after 28 days, SCW sends 'No Application Form Received' ltr to applicant. On receipt of the application form:

After this, or if the application has already completed, continue below.

**4.0 – Contact Signatory for Further Information – SCW Action:**

- If cannot contact CSig on phone, send 'Request to Contact' letter and update CRM & CSD notes. Also set a 28 day BF.
- **4.1** - When contact is made, question the CSig accordingly – if handling an applicant query, DO NOT mention this to the Sig.
- **4.2 – Signatory Agrees to Termination** – Obtain CSigs e-mail address & send the 'Termination Template'. Update CRM & CSD notes & set 10 day BF. On receipt of response or if NO response, go to 7.0. Send e-mail response for scanning.

**5.0 – Position is Eligible for CRB Certificate – SCW Action:**

- Add 'Position Eligible' note to CRM. If CSig has been contacted, send 'IAP App Eligible' template. Update CSD.

**IAP case –**

- Pass IAP form to Case Worker who will update the daily spreadsheet and destroy the IAP form.

**Applicant Query –**

- Respond to the applicant's query as per Customer Correspondence procedure.
- If application is at sampling, inform Sampling Team that it can progress. Add notes to CRM ('FAO Sampling' if necessary).

**6.0 – Position Appears to be Ineligible – SCW Action:**

- Complete and e-mail eligibility template to Signatory. Add 10 day BF & add notes to DB.
- **6.1** – Issue reminder e-mail if necessary (with 10 day BF).
- **6.2** – Confirmation Received – Send e-mail to be scanned & save. If still required, enter 'Position Eligible' note in CRM & add notes to DB.

**7.0 – Application to be Terminated – SCW Action:**

- If not done already, add notes to CRM & CSD, & inform Policy via Policy Enquiries form.

**IAP Case –**

- Write 'Termination' on the form. Forward to Correspondence Out via internal mail.

**Applicant Query –**

- If application 'In Progress', write Terminate on the latest correspondence & forward to Correspondence Out via internal mail. Respond to the customer query as per Customer Correspondence procedure.
- If application is completed, respond to the customer query as per Customer Correspondence procedure.

**8.0 – LPF Still Believe Position is Ineligible – PPM / Cust Servs HEO Action:**

- Review case history & info from SCW if needed.
- Advise LPF that CRB can't challenge RB's decision & that a full audit trail of guidance given & the RB decision has been stored. Refer to Senior PPM if LPF wish to add an approved info rider re eligibility.

**9.0 – Further Advice Available****10.0 – Run Database MIS Report**