



Australian  
Human Rights  
Commission

# On the Record

GUIDELINES FOR THE PREVENTION OF  
DISCRIMINATION IN EMPLOYMENT ON  
THE BASIS OF CRIMINAL RECORD • 2012



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# Glossary

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<b>Commission</b>	Australian Human Rights Commission (previously the Human Rights and Equal Opportunity Commission or HREOC)
<b>conviction</b>	a conviction of an offence by a court of law
<b>CrimTrac</b>	An executive agency established under section 65 of the <i>Public Service Act 1999</i> (Cth) which delivers national information sharing solutions for law enforcement and provides a national police checking service to certain organisations
<b>AHRC Act</b>	<i>Australian Human Rights Commission Act 1986</i> (Cth)
<b>ILO 111</b>	International Labour Organisation <i>Discrimination (Employment and Occupation) Convention 1958</i>
<b>inherent requirements</b>	the essential requirements of a particular job or position
<b>National Police Certificate</b>	a document issued by an Australian Police Agency detailing a person's police check results
<b>police check</b>	a check undertaken by an Australian Police Agency or CrimTrac
<b>spent convictions</b>	old convictions determined to be 'spent' under spent conviction and offender rehabilitation laws and schemes
<b>unfair dismissal laws</b>	industrial relations laws which provide protection against unfair dismissal from employment
<b>unrecorded conviction</b>	a finding of guilt by a court of law where no conviction was recorded, usually an indication that the offence was not considered serious enough to record a conviction, taking into account the nature of the offence and the likely impact of the recorded conviction on the offender's economic or social well-being

# Guidelines

for the prevention of discrimination  
in employment on the basis of  
criminal record

## **Guidelines for the prevention of discrimination in employment on the basis of criminal record**

The following Guidelines form the basis for best practice workplace policy and practice on employing people with a criminal record. They are described in more detail in *On the Record: Guidelines for the prevention of discrimination in employment on the basis of criminal record*.

- 1.** Employers should create an environment which will encourage an open and honest exchange of criminal record information between an employer and job applicant or employee.
- 2.** Employers should only ask job applicants and employees to disclose specific criminal record information if they have identified that certain criminal convictions or offences are relevant to the inherent requirements of the job.
- 3.** Oral and written questions during the recruitment process should not require a job applicant or employee to disclose spent convictions unless exemptions to spent conviction laws apply.
- 4.** Advertisements and job information for a vacant position should clearly state whether a police check is a requirement of the position. If so, the material should also state that people with criminal records will not be automatically barred from applying (unless there is a particular requirement under law).
- 5.** Criminal record checks should only be conducted with the written consent of the job applicant or current employee.
- 6.** Information about a person's criminal record should always be stored in a private and confidential manner and used only for the purpose for which it is intended.
- 7.** The relevance of a job applicant's or employee's criminal record should be assessed on a case-by-case basis against the inherent requirements of the work he or she would be required to do and the circumstances in which it has to be carried out. A criminal record should not generally be an absolute bar to employment of a person.
- 8.** If an employer takes a criminal record into account in making an employment decision, in most cases the employer should give the job applicant or employee a chance to provide further information about their criminal record including, if they wish, details of the conviction or offence, the circumstances surrounding the offence, character references or other information, before determining the appropriate outcome in each case.
- 9.** If criminal record information is considered relevant, an employer should have a written policy and procedure for the employment of people with a criminal record which can be incorporated into any existing equal opportunity employment policy, covering recruitment, employment and termination.
- 10.** If criminal record information is considered relevant, an employer should train all staff involved in recruitment and selection on the workplace policy and procedure when employing someone with a criminal record, including information on relevant anti-discrimination laws.



# 1. Introduction

Every employer has the right to employ someone of their own choosing, based on a person's suitability for a job. Employers best understand the main requirements of that job and what qualities are needed in an employee to meet those requirements. Yet it is also in employers' interests to treat job applicants and employees fairly and in accordance with legal obligations, including anti-discrimination laws.

In recent years there have been a significant number of complaints to the Australian Human Rights Commission from people alleging discrimination in employment on the basis of criminal record. The complaints indicate that there is a great deal of misunderstanding by employers and people with criminal records about discrimination on the basis of criminal record.

As a result, in August 2004 the Human Rights Commissioner on behalf of the Commission commenced a research project to examine more closely the extent and nature of this discrimination, to clarify the rights and responsibilities of employers and employees, and to consider measures which may be taken to protect people from this form of discrimination. In December 2004 the Commissioner issued a *Discussion Paper on Discrimination in Employment on the basis of Criminal Record*, calling for submissions. These submissions, together with a series of consultations on the issue of criminal record discrimination, highlighted further the need for practical guidance for employers and employees in this area. These Guidelines are a result of this research and consultation process.<sup>1</sup>

These Guidelines were initially revised in 2007, with further revisions in 2012.

The Guidelines are not legally binding. They are not intended to be (and should not be) relied on for legal advice. The Guidelines provide practical guidance on the rights and responsibilities relating to discrimination in employment on the basis of criminal record that arise under the AHRC Act.

These Guidelines also cover some areas of workplace practice and policy which at first sight do not appear to be directly related to discrimination on the basis of criminal record under the AHRC Act. However, Commission research shows that there are a complex set of intersecting laws with a direct impact on criminal record discrimination. For example, misunderstandings and incorrect application of spent convictions laws by employers and employees can lead to complaints of discrimination. As a result, these Guidelines provide some limited information and guidance on spent convictions laws, privacy laws, industrial laws and police record policies in order to assist employers avoid the pitfalls of discrimination.

# 2. Discrimination in employment on the basis of criminal record under the AHRC Act

Under the *Australian Human Rights Commission Act 1986* (Cth) (AHRC Act), the Commission can handle complaints about discrimination in employment or occupation on the basis of criminal record.

The Commission's powers and functions in relation to discrimination in employment on the ground of criminal record are contained in Part II – Division 4 (sections 30, 31 and 32) of the AHRC Act and the *Australian Human Rights Commission Regulations 1989* (Cth), reg 4.

The Commission's jurisdiction to handle these complaints is underpinned by the International Labour Organisation *Discrimination (Employment and Occupation) Convention 1958* (ILO111), which Australia has ratified, and which is scheduled to the AHRC Act.

Under section 31 of the AHRC Act the Commission has the authority to 'investigate any act or practice, including any systemic practice that may constitute discrimination and where appropriate try to resolve the complaint of discrimination by conciliation.' A summary of the Commission's complaints process is set out in Appendix 1 of these Guidelines.

Although the Commission may find that certain conduct is discriminatory, if the complaint is unable to be conciliated, then the Commission's actions are limited to preparing a report with recommendations to the Attorney-General, for tabling in federal Parliament. The Commission does not have the authority to implement its recommendations or make respondents to a complaint comply with them.<sup>2</sup>

## 2.1 Definition of 'discrimination' under the AHRC Act

Discrimination is defined in Section 3 (1) of the AHRC Act as follows:

- (a) *any distinction, exclusion or preference made on the basis of race, colour, sex, religion, political opinion, national extraction or social origin that has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation; and*
- (b) *any other distinction, exclusion or preference that:*
  - (i) *has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation; and*
  - (ii) *has been declared by the regulations to constitute discrimination for the purposes of this Act;*

Examples of such 'distinction, exclusion or preference' which may nullify or impair equality include rejection of job applications, termination from employment, lack of promotion, harassment in the workplace and lack of training for employment or promotion purposes.

Although not specifically defined, indirect discrimination is also discrimination under the AHRC Act. Indirect discrimination occurs when an apparently neutral condition, required of everyone, has a disproportionately harsh impact on a person with an attribute such as criminal record.<sup>3</sup> An intention to discriminate is not necessary for a finding of discrimination.

## 2.2 Definition of 'criminal record' under the AHRC Act

Under the AHRC Act, there is no definition of what constitutes 'criminal record'. However, it has been interpreted broadly to include not only what actually exists on a police record, but also the circumstances of the conviction.<sup>4</sup>

This means that a complaint of discrimination under the AHRC Act is not limited to an allegation of discrimination based on what appears on a police record check only. A criminal record for the purposes of the AHRC Act can include charges which were not proven, investigations, findings of guilt with non-conviction and convictions which were later quashed or pardoned. It also includes imputed criminal record. For example, if a person is denied a job because the employer thinks that they have a criminal record, even if this is not the case, a person may make a complaint to the Commission.

The AHRC Act does not specifically protect someone against discrimination on the basis of a criminal record held by association, for example against a family member or friend. However, if a person was imputed to have a criminal record simply because a family member or friend had a criminal record, they may be protected under the AHRC Act.

The interpretation of 'criminal record' under the AHRC Act does not mirror the meaning of criminal record when discussing police checks in various police jurisdictions. Criminal record in this context refers to what is recorded and what is released on official police records. However, this can differ by state and territory, and according to who the information is released to. The information contained in police records is discussed in Section 5.6.

## 2.3 Who is covered by the AHRC Act (for criminal record discrimination)?

The AHRC Act covers employers and employees in all states and territories. This includes Commonwealth government employers, state and territory government employers, private sector employers, non-government community sector employers and employment agencies, as well as authorities for the licensing and registration of employees. Small business employers are also covered under the AHRC Act.

The AHRC Act includes all types of employees and prospective employees: temporary, casual, full-time and part-time workers, apprentices and trainees.

Volunteers are not covered unless the voluntary work is related to training or work experience leading directly to employment, or pursuing a particular occupation. For example, the AHRC Act may provide some protection from discrimination if a social work student was denied the opportunity to participate in a community placement because of their criminal record.

## 2.4 What employment areas does the AHRC Act apply to (for criminal record discrimination)?

The AHRC Act defines ‘employment’ and ‘occupation’ to include:

*... access to vocational training, access to employment and to particular occupations, and terms and conditions of employment.*

As a result, the Commission has investigated allegations of discrimination on the basis of criminal record in relation to:

- recruitment
- vocational training
- promotion
- conditions at work
- termination
- employment-related licensing or registration.

Most complaints received by the Commission have been in relation to the recruitment process. This category is closely followed by terminations of employment.

## 2.5 What is not discrimination on the basis of criminal record under the AHRC Act?

The AHRC Act provides a general exception to discrimination in employment, known as the *inherent requirements* exception.

*It is not discrimination if the person's criminal record means that he or she is unable to perform the inherent requirements of the particular job.<sup>5</sup>*

The anti-discrimination legislation in Tasmania and the Northern Territory uses the words ‘irrelevant criminal record’ to express the same concept.

The AHRC Act does not define what is meant by ‘inherent requirements’, however in case law it is generally understood that there is no discrimination if an applicant does not get a job or promotion because they cannot fulfil the *essential aspects* of a particular job.

‘Inherent requirement’ is discussed in greater detail in Section 4 – Determining the inherent requirements of the job.

The AHRC Act also provides an exception for any distinction, exclusion or preference that is in connection with employment in a religious institution, as long as it is made in good faith in order to avoid injury to religious beliefs.<sup>6</sup>

Further, if an employer is carrying out their obligations in direct compliance with a law, it is likely that the Commission will discontinue its inquiry into the complaint. However, the Commission can examine a Commonwealth law for its discriminatory aspects and recommend its amendment to the federal Parliament.

# 3. What other relevant laws do employers have to comply with?

## 3.1 State and territory anti-discrimination laws

Tasmania and the Northern Territory have laws that specifically prohibit discrimination on the basis of criminal record. The laws cover discrimination in other areas as well as employment, including the provision of goods and services, education and accommodation.

Under the **Northern Territory's Anti-Discrimination Act 1992**, it is unlawful to discriminate against a person on the grounds of 'irrelevant criminal record'.<sup>7</sup> The legislation also includes an exemption to discrimination where the work principally involves the care, instruction or supervision of vulnerable persons, including children.<sup>8</sup> It also prohibits asking another person to supply information on which unlawful discrimination could be based.<sup>9</sup>

The **Tasmanian Anti-Discrimination Act 1998** has very similar provisions to the Northern Territory's legislation. A person must not discriminate against another person on the basis of 'irrelevant criminal record' and there is a specific exemption for discrimination in relation to the education, training or care of children.<sup>10</sup>

In both the Northern Territory and Tasmania a variety of legal remedies are available if a finding of discrimination is made. The court can order an employer not to repeat or continue the prohibited conduct, to pay compensation or to take specific action, including re-employing a person.<sup>11</sup>

Persons in the Northern Territory and Tasmania may choose to make a complaint under the AHRC Act instead.

No other state or territory anti-discrimination laws provide specific protection against discrimination on the basis of criminal record. However, in Western Australia and the Australian Capital Territory, there are provisions that make discrimination on the basis of *spent convictions* unlawful.<sup>12</sup>

In other states and territories, persons who wish to complain of discrimination on the grounds of criminal record must rely on the AHRC Act only.

## 3.2 Spent convictions laws

### Purpose and application of spent convictions laws

Spent convictions laws allow the criminal records of offenders to be amended after a certain period of time, usually subject to no future convictions. The idea behind spent convictions schemes is to allow people with a criminal record to 'wipe the slate clean' after a certain period of time. They assist people with a criminal record rehabilitate by providing them with a legally sanctioned means of 'moving on' with their lives and putting their past behind them.

Spent convictions schemes usually apply to certain convictions only, mostly offences with short custodial sentences or lesser penalties. The schemes exclude people sentenced for more serious crimes or for long periods of imprisonment. There are exemptions from the requirements of the law for certain categories of employment and certain offences. For example, sex and violence offences are usually required to be disclosed to the employer when the work involves working with children.

Almost all states and territories, and the Commonwealth, have statutory spent convictions schemes, although they differ considerably.<sup>13</sup> Victoria is the only jurisdiction without a spent convictions law, although it has an information release policy.

### Employer responsibilities under spent convictions laws

There are distinct differences between the spent convictions laws in each jurisdiction and any applicable anti-discrimination laws, so employers should be aware of which laws apply to them and the main requirements of those laws.

Under spent convictions laws, employees or job applicants are not required to disclose information about their spent convictions to anyone, even if asked about it, unless there is a special exemption or requirement under another law.

Police will not release information to an employer about a spent conviction on a police check unless there is an exemption under relevant spent conviction legislation or information release policies. Generally each police jurisdiction applies the rules governing its own scheme in deciding whether to release information to police in other jurisdictions about spent convictions.

Even if an employer finds out about a spent conviction by other means, for example word-of-mouth, the employer is prohibited from taking that spent conviction into account in making an employment decision.

Because of confusion over the different laws, some job applicants and employees may either mistakenly disclose a spent conviction because they do not understand the provisions of the specific law, or fail to disclose convictions to employers because they believe their conviction to be spent. These types of misunderstandings can result in complaints of discrimination if the employer takes action to the detriment of the employee on the basis of what is revealed.

### 3.3 Privacy laws

Under privacy laws, a person's criminal record is treated as sensitive information. Additional protections are given to sensitive information under these laws. An employer should respect the privacy of job applicants and employees with criminal records.

Although exemptions from privacy laws apply to some private sector employers and to some criminal record information, it is best practice for employers to follow privacy principles as closely as possible when dealing with information relating to a person's criminal record. Breaches of privacy in relation to criminal record can complicate relations between an employee and employer, and may lead to claims of discrimination and breaches of the *Privacy Act 1988 (Cth)* (the Privacy Act).

Employers may also face a potential claim under common law for breaches of privacy and wrongful disclosure of confidential information.

#### **Who is covered by Commonwealth privacy laws?**

In an employment context, the Privacy Act covers Commonwealth and ACT public sector employees and certain private sector employees.

In certain cases, individual job applicants and employees may complain of a breach of privacy to the Office of the Australian Information Commissioner who can investigate the complaint, conciliate the complaint and make recommendations in the event that the complaint cannot be resolved by conciliation. These recommendations can be enforced by the federal courts.

However, the private sector provisions generally only apply to organisations (including not-for-profit organisations) with an annual turnover of more than \$3 million. These provisions also apply to a number of organisations with an annual turnover of less than \$3 million (for example, a business that is related to one with an annual turnover greater than \$3 million or where a business has opted into the Privacy Act). For further information, see [www.privacy.gov.au/publications/IS12\\_01.html](http://www.privacy.gov.au/publications/IS12_01.html).

Most states and territories also have privacy laws and administrative schemes which operate to the extent that they are not indirectly inconsistent with the Privacy Act.<sup>14</sup> These vary in content and coverage, especially in regard to private sector coverage. State and territory public sector employees are covered by these laws and schemes, where they exist. Information on these schemes can also be found on the website of the Office of the Australian Information Commissioner at [www.privacy.gov.au/privacy\\_rights/laws/index.html#5](http://www.privacy.gov.au/privacy_rights/laws/index.html#5).

#### **Are employee records covered by the Privacy Act?**

The private sector provisions of the Privacy Act, where they apply, allow for an exemption for employee records in some circumstances.<sup>15</sup> Criminal record information that relates directly to the employment relationship between an employer and current or former employee, and is held by the employer in an employee record, is exempt from the operation of the privacy principles.

### 3. What other relevant laws do employers have to comply with?

However, this exemption *does not cover future employment relationships*. This means that an employer that is covered by the Privacy Act (eg. an employer with an annual turnover of more than \$3 million) must comply with the Privacy Act when it collects, uses, stores and disposes of criminal record information from *job applicants*. If the job applicant eventually becomes an employee, then the exemption applies. If not, then the information must be treated according to privacy principles.

More information on the employee records exemption can be found at [www.privacy.gov.au/publications/IS12\\_01.html](http://www.privacy.gov.au/publications/IS12_01.html).

#### **What are the privacy principles of the Privacy Act?**

The key provisions of the *Privacy Act* which relate to private sector employers and employees are called the National Privacy Principles (NPPs). When handling criminal record information from job applicants and employees, it is best practice for all private sector employers to follow the NPPs.

A summary of the National Privacy Principles obligations under the *Privacy Act*, relevant to criminal record information, is included in Appendix 2.

Commonwealth and ACT public sector employers and employees are required to comply with the Information Privacy Principles (IPPs), which differ slightly from the NPPs.

The NPPs and IPPs can be found at [www.privacy.gov.au/publications/npps01.html](http://www.privacy.gov.au/publications/npps01.html) and [www.privacy.gov.au/publications/pps.html](http://www.privacy.gov.au/publications/pps.html). Advisory information on the application of the principles can be found at [www.privacy.gov.au/materials/types/guidelines/view/6582#npp3](http://www.privacy.gov.au/materials/types/guidelines/view/6582#npp3).

#### **3.4 Industrial relations laws**

State and federal industrial laws may also protect people with a criminal record from unfair treatment at work, specifically from unfair dismissal.

Some employees covered by the national workplace relations system<sup>16</sup> can lodge a complaint of unfair dismissal with Fair Work Australia under the *Fair Work Act 2009* (Cth).

Unfair dismissals under the provisions of the *Fair Work Act* occur when Fair Work Australia finds that

- the employee was dismissed and
- the dismissal was harsh, unjust or unreasonable and
- the dismissal was not a case of genuine redundancy
- the dismissal was not consistent with the Small Business Fair Dismissal Code, where the employee was employed by a small business.<sup>17</sup>

There have been a number of decisions handed down in the national workplace relations system in circumstances where the alleged unfair dismissal was the direct result of an employer finding out about an employee's past criminal record.

Some employees are ineligible to make an application for unfair dismissal under the *Fair Work Act*, including:

- employees who have not completed a minimum of six months employment (one year in the case of a small business employee)
- employees who earn more than \$118,100 a year and who are not covered by an award or agreement.<sup>18</sup>

Each of the states (other than Victoria) also has unfair dismissal jurisdictions which are accessible to some employees who are not covered by the *Fair Work Act*.<sup>19</sup>

### **3.5 Laws requiring employers to check criminal records**

Some employers, licensing and registration bodies are legally required to screen employees and job applicants for their criminal record, and to take that record into account in employment decisions.

Some examples of occupations and industries which are regulated in some instances to screen and restrict employment of people with criminal records at the federal and state levels include:

- teaching
- gaming and racing
- nursing
- police
- transport operators
- security officers
- taxi driving
- correctional services
- legal profession
- second-hand dealers and pawnbrokers.

Employers, licensing and registration bodies must meet the requirements of these laws. However, employers should be aware of the exact requirements of their legislation, as it may not be immediately clear whether a person can be excluded on the basis of criminal record.

Licensing and registration is discussed in Section 8.

### **Example of legal requirements for criminal record checks: working with children laws**

All jurisdictions in Australia have made a policy decision that the protection of children is so important that persons working with children should be closely scrutinised for a relevant criminal record.

In most states and territories there are legislative requirements to conduct pre-employment screening for child-related work. In New South Wales and South Australia, laws make it mandatory for employers in relevant fields to carry out background checks on prospective employees or volunteers.<sup>20</sup> In Queensland, Victoria, Western Australia and the Northern Territory, laws require individuals to apply for certification, in order to work in child-related employment.<sup>21</sup> In these schemes, certain convictions relating to child sex offences will generally result in automatic disqualification.

In Tasmania and Australian Capital Territory, where laws are yet to be introduced, there are policies that require police checks for certain child-related employment.<sup>22</sup>

# 4. Determining the inherent requirements of a job

Under the AHRC Act, an employer can make a distinction against someone with a criminal record if the person's particular criminal record means that they are unable to fulfil the inherent requirements of the job. Another way of putting this is that an employer can make a distinction against someone if the criminal record is relevant to the job. This conduct does not constitute discrimination under the AHRC Act.

The burden of deciding what is an inherent requirement of the job falls on the employer, but it must be able to be justified objectively.

These Guidelines attempt to provide some assistance to employers in determining the inherent requirements. Employers should note, however, that case law in this area is relatively undeveloped. Also, any findings of discrimination rest greatly on the individual circumstances of the case.

## 4.1 When should an employer determine the inherent requirements of the job?

Determining the inherent requirements of a job should be undertaken *prior* to advertising a job vacancy, as this will determine how a job is advertised and how the job application process will proceed. Deciding the essential or inherent requirements of the job at the start, rather than when a person with a criminal record applies for the job, will help the employer avoid problems and misunderstandings half-way through the recruitment process.

However, under the AHRC Act an employer needs to show not only that they have determined what are the inherent requirements of a job, but also that they have considered whether an *individual* job applicant or employee meets these requirements.

## 4.2 How do you decide whether a criminal record is relevant to the inherent requirements of the job?

### Step One: Identify the essential tasks, circumstances and requirements of the job

A good starting point for identifying the inherent requirements of the job with regard to criminal record is to determine the tasks the employee will be required to perform, the circumstances in which the work is to be carried out and any organisational requirements of the job.

For example, for a job transporting valuable goods, the main task may be:

- Transporting goods from receiving dock to storage centre.

However, the job may also require the employee to:

- Be eligible to hold a current security pass for the storage centre.

These may both be inherent requirements of the job although they may differ in relevance for criminal record. The first task will require skills which may have no connection to a criminal record, for example a truck driver's licence. The second aspect to the job does not require specific skills, but is also essential to the job as a security clearance must be obtained for all those entering the storage centre.

### Step Two: Assess whether criminal records are relevant to these tasks and requirements

The next step is to assess whether a certain criminal record may be relevant to the requirements of the job.

The following questions help employers to identify whether a certain criminal record may have an impact on the essential tasks of the job:

- Does legislation require the employer to ensure that the employee meets certain requirements with regard to criminal record? For example it may be illegal to employ people with a certain criminal record in some occupations, such as working with children.
- Is a licence or registration essential to the job? Is a criminal record a barrier to obtaining such a licence or registration?
- Does the job involve one-to-one contact with children or other vulnerable people, such as the mentally ill, as employees, customers or clients? How often?
- Does the job involve any direct responsibility for finance or items of significant value? If so, to what degree? Convictions for what offences would be relevant?

**Note:** An employer may conclude that a criminal record is not relevant to the inherent requirements of the job. In that case, it is inappropriate for an employer to consider criminal record in their recruitment process and policies.

Alternatively, an employer may conclude that only certain types of offences are relevant to the job, and to structure any questions to reflect this.

If an employer decides that a criminal record may be relevant to the inherent requirements of the job, he or she should then follow best practice for conducting police checks outlined in Section 5.

The inherent requirements should be reflected in any selection criteria and job information for job applicants. An employer should be clear about what are the essential, as opposed to desirable, criteria and ensure that any essential elements are set out clearly for job applicants.

### **Step Three: Assess an individual criminal record against the inherent requirements of the job**

If an employer has determined that a criminal record is relevant to the inherent requirements of the job, and has advertised accordingly, an employer needs to assess the applications from people with a criminal record on a case by case basis.

Each job applicant should be assessed firstly on their ability to do the job and then on the relevance of their criminal record to the job applied for. Only short-listed applicants should be asked to disclose their criminal record.

How to assess a job applicant's or employees criminal record against the inherent requirements of the job is discussed more fully in Section 5.10.

## **4.3 Some key principles in case law for assessing inherent requirements**

Since each job and each person's criminal record is different, there is no steadfast rule in determining the inherent requirements of a particular job and whether a person cannot meet these requirements because of their criminal record. The inherent requirements exception has been considered by the International Labour Organisation, the Australian courts and by the Commission in its consideration of complaints. These cases are not necessarily about criminal record discrimination, as the inherent requirements exception is also relevant for a number of other grounds of discrimination. While the cases do not reveal any simple test, the following principles appear to represent the current state of the law:

## **Example of Commission complaint: inherent requirements**

### **Summary of complaint**

The complainant alleged that he was dismissed from a position as a project officer with a community arts organisation due to his criminal record. He claimed that during the interview process for this position he was not asked about his criminal record nor asked to fill out a criminal record check. He did not disclose any convictions.

After about ten weeks of employment the complainant was told that one of his projects involved visiting detention centres and prisons, for which it was compulsory to obtain a security clearance from corrective services. When the security clearance was sought, the employer realised that the complainant had a criminal record and told him that his employment was to be terminated for this reason.

### **Response**

The employer argued that, because visits to prisons are part of the project, passing a security clearance is an inherent requirement of the position. The employer also argued that the complainant was told about this aspect of the work in the interview and did not indicate that gaining a security clearance for visits to prisons would be a problem.

### **Outcome**

The Commission declined the complaint on the basis that there had been no discrimination. The Commission found that passing the security clearance was an inherent requirement of the position.

#### 4. Determining the inherent requirements of a job

1. An inherent requirement is something that is ‘essential’ to the position rather than incidental, peripheral or accidental.<sup>23</sup>

Justice Gaudron of the High Court has stated that

*[A] practical method of determining whether or not a requirement is an inherent requirement ... is to ask whether the position would essentially be the same if that requirement were dispensed with.<sup>24</sup>*

2. The burden is on the employer to determine the inherent requirements of the *particular* position and consider their application to the *specific* employee before the inherent requirements exception may be invoked.<sup>25</sup>

Broad general statements about a job’s requirements are not clear enough to allow for an assessment of inherent requirements. Further, an employer needs to consider the application of inherent requirements to a specific employee on a case-by-case basis, rather than trying to draw a connection between the inherent requirements and any presumed characteristics of people with a criminal record.

##### Case example: *Zraika v Commissioner of Police*<sup>26</sup>

Mr Zraika’s application to join the NSW Police was rejected because of his impaired vision in his left eye. Mr Zraika claimed he had been discriminated against on the grounds of disability, while the NSW Police argued that with his visual impairment he would be unable to carry out the duties of police officer with the necessary diligence and safety. However, the Tribunal found that

*The respondent has not satisfied us that at the time he rejected Mr Zraika’s application that he (the respondent) had identified the inherent requirements of the position of a police officer. The only evidence concerning the respondent’s determination of the inherent requirements of a police officer, as at 11 October 2002, was the entries on the medical professional suitability application form which have been reproduced at [16] and [17] above. Those entries are too broad and too general to be considered an adequate description of the inherent requirements of an operational police officer. They are not capable of being used as any sort of reasonable yardstick against which an applicant with some loss of visual function, such as Mr Zraika can be assessed.<sup>27</sup>*

3. The inherent requirements should be determined by reference to the specific job to be done and the surrounding context of the position, including the nature of the business and the manner in which the business is conducted.<sup>28</sup>

##### Case example: Christie’s Case

Although the Christie case related to age discrimination, not criminal record discrimination, it established important principles on what are the ‘inherent requirements’ of a job. Mr Christie claimed he had been discriminated against on the basis of his age when he was terminated from his job as pilot with Qantas, on reaching 60 years of age. Due to international restrictions on the age of pilots, Mr Christie was not able to pilot international flights. The High Court found that Mr Christie could not meet the inherent requirements of the position of pilot because it was an inherent requirement of the job to be able to fly international routes. Although Mr Christie may have been able to perform the specific task of flying (and could do so for Qantas on domestic routes) he was not able to perform the inherent requirement of the ‘position’ to fly international routes. Hence the ‘inherent requirements’ included the surrounding context of the job, not merely his physical or mental capacity to perform the task.

4. There must be a ‘tight correlation’ between the inherent requirements of the particular job and an individual’s criminal record. There must be more than a ‘logical link’ between the job and a criminal record.<sup>29</sup>

### Case example: Christensen's Case

Ms Christensen's application to work as bar attendant at the Adelaide Casino was rejected because of a conviction for stealing two bottles of alcohol from a shop when she was 15 years of age. She complained to the Commission of discrimination on the basis of criminal record. The Casino argued that it was an inherent requirement that bar staff be of good character and trustworthy and that her offence showed that she was not able to fulfil these requirements. The Commission found that there was not a sufficiently close connection between the requirement that the holder of the position of bar attendant be trustworthy and of good character and the rejection of her application based on her criminal record.

*There was information available to the respondent regarding Ms Christensen's trustworthiness and ability to perform the inherent requirements of the job. Ms Christensen's conviction occurred some seven or eight years before she made her application for employment with Adelaide Casino. She was about 15 years of age at the time of her conviction. I note there were factors the Casino didn't take into account that would to me seem far more relevant to, and probative of, the question of whether she was trustworthy and of good character, than her criminal record ... there has been no suggestion that she has been anything but trustworthy and honest in these [other] positions ... I am of the view that in the circumstances of this complaint the connection between the rejection of Ms Christensen's application on the basis of her criminal record and the inherent requirements of trustworthiness and good character is not tight or close ...<sup>30</sup>*

### 5. The inherent requirements exception will be interpreted strictly so as not to defeat the purpose of the anti-discrimination provisions.<sup>31</sup>

The Full Federal Court of Australia described the purpose and operation of the HREOC Act (now the AHRC Act) as follows:

*Respect for human rights and the ideal of equality – including equality of opportunity in employment – requires that every person be treated according to his or her individual merit and not by reference to stereotypes ascribed by virtue of membership of a particular group... These considerations must be reflected in any construction of the definition of 'discrimination' ... because, if they are not, and a construction is adopted that enables the ascription of negative stereotypes or the avoidance of individual assessment, the essential object of the [Human Rights and Equal Opportunity Commission] Act to promote equality of opportunity in employment will be frustrated.<sup>32</sup>*

### 4.4 Can occupational health and safety be considered part of the inherent requirements of the job?

It may be an inherent requirement of the job that a person not pose an unacceptable risk to the occupational health and safety of other workers, or to themselves. For example, a job applicant for a bus driver position with a number of serious traffic offences may pose an unacceptable risk to others working on the bus.

### Case example: Inherent requirements and health and safety risk to others

In *X v Commonwealth*<sup>33</sup>, the High Court of Australia considered the meaning of inherent requirements with respect to health and safety. X initially made a complaint of disability discrimination to the Human Rights and Equal Opportunity Commission, whose finding was overturned by the Federal Court. The High Court dismissed an appeal by X.

X enlisted as a general enlistee with the army. After he had commenced recruitment training, a blood test revealed he was HIV positive, and as a result he was discharged in accordance with defence policy.

## 4. Determining the inherent requirements of a job

The Commonwealth argued that he could not carry out the inherent requirements of the job, not because he was physically incapable, but rather that he posed a risk to other soldiers by reason of his HIV infection. The High Court found that it is permissible to have regard to the health and safety of others when considering the requirements of the employment. Certain issues will ordinarily have to be addressed in this assessment, such as the degree of risk to others, the consequences of the risk being realised, the employer's legal obligations to co-employees and others, the function which the employee performs and the organisation of the work.<sup>34</sup>

However, an employer should be careful not to resort to stereotyping of people with certain types of criminal record. Individual assessment will still be necessary to assess whether or not a person can meet the inherent requirements of the job.

Further, an employer should not use occupational health and safety concerns as an excuse to exclude people with a certain criminal record when these health and safety concerns are peripheral to the job.

### 4.5 Can it be an inherent requirement of a job that employees be of good character and trustworthy?

It can be an inherent requirement of a job that an employee be of 'good character' and 'trustworthy'. These requirements are common in public sector employment, industries with specific regulation such as racing or gaming, and in the licensing and registration of specific occupations such as nursing.

For example, in a complaint to the Commission (the Christensen's Case), the Commission found that trustworthiness and good character were inherent requirements of the job of bar attendant at the Adelaide Casino. However, the Commission found that the connection between the rejection of Ms Christensen's application on the basis of her criminal record and the inherent requirements of trustworthiness and good character was not tight or close in her case, and hence found that the casino had discriminated against her.<sup>35</sup>

A similar requirement to 'good character' is the requirement to be 'a fit and proper person'.

#### Case example: Deciding whether a legal practitioner is a 'fit and proper' person<sup>36</sup>

In the High Court case, *A Solicitor v The Council of the Law Society of New South Wales*, a solicitor appealed against a decision of the Court of Appeal of New South Wales which found that he was guilty of professional misconduct and was not a fit and proper person to be a legal practitioner.

The solicitor was convicted in 1998 of aggravated indecent assault of two of his stepdaughters and informed the Law Society of those convictions. However, he failed to disclose to the Law Society of New South Wales that he had been convicted of further charges of aggravated indecent assault in 2000, at a time when the Law Society was considering whether disciplinary action should be taken against the solicitor in regard to the first convictions. The second set of convictions was eventually quashed.

The Court held that while the solicitor was guilty of professional misconduct due to his failure to disclose the second set of convictions, he remained a fit and proper person to be a legal practitioner.

The Court said that:

*The conduct of the appellant in committing the acts of indecency towards the two complainants in 1997 did not occur in the course of the practice of his profession, and it had no connection with such practice ... the nature of the trust and the circumstances of the breach, were so remote from anything to do with professional practice that the characterisation of the appellant's personal misconduct as professional misconduct was erroneous.<sup>37</sup>*

An employer must be wary of making an unwarranted presumption that a person's criminal record determines their character. The case law states that the mere fact of a criminal record does not determine a person's character and that the passage of time can heal past wrongdoings.<sup>38</sup>

## 4.6 Workplace or industry-wide requirements

Some employers have identified similar inherent requirements for a number of different jobs across one workplace or industry. In those cases an employer may decide to follow a similar recruitment process. For example, a financial organisation may have a number of different jobs with responsibility for dealing with financial transactions. The employer may decide that offences of dishonesty and theft are relevant to all these types of jobs within the organisation and advertise and apply a similar recruitment process with respect to criminal record checks.

Public service employment and licensing and registration bodies also often wish to apply a similar requirement across a range of occupations, such as the requirement to be of good character.

However, it is important to keep in mind that the inherent requirements principle still requires an assessment of a person's individual circumstances to be weighed up against the job being performed. If not, there is a danger that discrimination will occur.

### Example of Commission complaint: Applying for a licence as a stable hand (Hall's Case)

Mr Hall was required to be licensed by the Thoroughbred Racing Board in order to work as a stable hand. When he made his licence application he failed to disclose his prior convictions, which included traffic offences and wilful and obscene exposure. When his record was discovered he was stood down from his job and was subsequently refused a licence by the Board.

The respondent argued to the Commission that it was an inherent requirement of a stable hand not to have a criminal record because public confidence is important to the racing industry, and the maintenance of public confidence depends in part upon the honesty and integrity of persons associated with that industry. However, the Commission found that this general statement was not sufficient to establish that a criminal record was relevant to the job of stable hand.

*Although it may establish that the inherent requirements of each particular job in the racing industry will include requirements that may be broadly labelled as 'fitness and propriety' requirements, the precise content of those inherent requirements must be considered in respect of each job.*

*It is quite unsatisfactory to approach this issue in terms of 'industry wide' requirements. This is supported by the ILO Committee of Experts who have indicated that it is reluctant to apply the 'inherent requirement' exception to an entire profession.<sup>39</sup>*

# 5. Recruitment

## Case example: Requesting information on which unlawful discrimination may be based

In *Hosking v Fraser*, the Northern Territory Anti-Discrimination Commission found that an employment agency should not have sought criminal record information from all applicants for a nursing position because it was not relevant to the inherent requirements of the position.<sup>40</sup>

The position was for a remote area nurse situated in an Aboriginal community. Ms Hosking claimed she was asked to consent to a police history check and that, if she did not, her application would not be put on the database of the agency to be forwarded to the employer. The recruitment agency claimed that it was their role to screen out the criminal, inept and incompetent elements so that they do not manage to gain positions of trust. They claimed that the information requested of applicants was essential in the context of Aboriginal customs and realities that these disadvantaged people face on a daily basis.

Although the agency did send the application on to the employer, the NT Commission found that the evidence presented by the agency that a police check was an inherent requirement of the position was ‘unconvincing’.

The Commission stated:

*While Mr Fraser's wish to protect Aboriginal communities from unscrupulous persons is admirable, a general requirement for 'police checks' without any reference to the relevance of any check, the relevance of any criminal record and to such matters as spent convictions cannot be considered reasonable. Recruitment forms, and the information they elicit, must be relevant to the duties to be performed, couched in non-discriminatory terms, and based on non-discriminatory practices.*

As a result, the NT Commission found that the agency sought unnecessary information on which discrimination may be based, contrary to the NT Anti-Discrimination Act.

If an employer has a fair and open process of dealing with the disclosure of criminal records at the outset, many complaints of discrimination can be avoided.

On the one hand, most employers feel that a job applicant has the responsibility to disclose their criminal record honestly in response to a request. On the other hand, people with criminal records are acutely aware that they may be judged adversely because of their criminal record, and not given a fair go. They may decide not to disclose for this reason. In such a sensitive area it prevents many problems if employers create an environment which will encourage an honest and open exchange of information.

It is important to remember that for some jobs, a criminal record will be an irrelevant consideration. An employer does not need to request criminal record information from job applicants if it is irrelevant to the inherent requirements of these jobs. Employers are therefore strongly encouraged to read and consider Section 4 on assessing the inherent requirements of the job before requesting information from job applicants.

### Guideline 1

**Employers should create an environment which will encourage an open and honest exchange of information about a criminal record between an employer and job applicant or employee.**

## 5.1 Can an employer ask for criminal record details from a job applicant?

In some circumstances there is a clear legal requirement that an employee or job applicant should not have a certain criminal record. An employer may be obliged to ask a job applicant for criminal record details in these circumstances. Employers are, however, required to ask an employee to consent to a police check.

See Section 5.5 on when to ask for a police check.

Even where there is no external obligation on an employer to enquire about a person's criminal record, employers may still ask a person if he or she has a criminal record. However, employers should only ask about a criminal record where there is a connection between the inherent requirements of a particular job and a criminal record.

This principle has been put into legislation in the Northern Territory where requesting information on which unlawful discrimination may be based is not permitted.<sup>41</sup>

In addition, an employer should be aware that federal and state privacy laws specify that personal information may only be collected to the extent necessary for a purpose directly related to a function or activity of the collector. It may be that the collection of a person's entire criminal record is excessive for employment purposes. Although there are exceptions to privacy laws, for example for small business, privacy laws generally prohibit the collection and use of personal information such as criminal records from job applicants in any unnecessary and excessive way. See Section 3.3 for further information on privacy laws.

If an employer asks a job applicant personal questions which are irrelevant to the job, they run the risk of either breaching privacy and anti-discrimination laws, or setting in train misunderstandings which could lead to problems down the track.

#### **Guideline 2**

**Employers should only ask job applicants and employees to disclose specific criminal record information if they have identified that certain criminal convictions or offences are relevant to the inherent requirements of the job.**

## **5.2 Do job applicants have to disclose their criminal record?**

There is no universal duty on a prospective employee to volunteer anything about his or her prior record, even if those facts are likely to affect the employer's willingness to employ him or her.<sup>42</sup>

If there is a requirement under legislation to disclose a criminal record, for example for working with children, then a job applicant must disclose their record.

Otherwise, there is no absolute obligation for a job applicant to answer a question about their criminal record even when asked.

However, if an employer asks a reasonable question – for example, a specific question about a criminal history relevant to the job – an employer may be entitled to refuse to hire a person on the basis of failure to answer that reasonable question. Even so, this may still give rise to a complaint of imputed discrimination against the employer if a criminal record was irrelevant to the position.

Sometimes a job applicant thinks that there is no link between the position for which they are applying and their criminal record. In principle a person may be entitled to refuse to answer in this situation.<sup>43</sup> However, in practice, it is often difficult to determine whether a particular criminal record is relevant to a particular position.

As the example on page 22 illustrates, some employers decide not to employ an applicant who has failed to disclose a criminal record, not because of the nature of the record, but because an inherent requirement of the job is honesty and trustworthiness, and the failure to make a disclosure is treated as dishonesty. The Commission receives a number of complaints by persons who allege they have been not employed or later dismissed on the basis of criminal record, while the respondent has argued that the reason for the dismissal was dishonesty in failing to disclose the criminal record.

The Commission may decline a complaint if it finds that the employer's conduct was based on dishonesty only, not the actual criminal record.

### **Case example: Stock v Narrabri Nominees, WA Industrial Relations Commission**

Mr Stock was employed as a tyre fitter in May 1990. He was not asked about his criminal record in his application. When launching the business the owner placed an advertisement in a local newspaper, including a photograph of the staff. The owner received several phone calls from people who had seen the advertisement and were concerned that he had employed Mr Stock who had been convicted of stealing, amongst other dishonesty offences. The owner dismissed Mr Stock.

The Industrial Relations Commissioner stated that:

*It is clear ... that an employee is not under any duty to volunteer facts regarding his personal antecedents even if such facts are likely to affect the employer's willingness to employ him.<sup>44</sup>*

The Commissioner found that Mr Stock had been unfairly dismissed.

### Example of Commission complaint: Failure to disclose a conviction on the basis that it seemed irrelevant

#### Summary of complaint

The complainant who obtained a position and commenced training as a security officer in a detention centre in South Australia alleged that he was dismissed from his position due to his criminal record. The application form asked whether the applicant had ever been charged, had pleaded guilty, been convicted of an offence or had an offence proved. The complainant had a conviction for possession of marijuana 15 years earlier, which he did not declare as he did not think that it was relevant.<sup>45</sup> His employment was conditional on a criminal record check, which revealed the conviction.

#### Response

The employer argued that the complainant failed to gain employment because he provided false information and because he failed to satisfy the inherent requirements of the position due to his criminal record.

#### Outcome

The Commission declined the complaint on the basis that it was lacking in substance. The Commission found that the decision not to employ the complainant was made because of his failure to truthfully answer the question, and in any event, it was an inherent requirement of the particular position to have no criminal record.

An employer could explain to job applicants, if briefly, why certain convictions are relevant to the job and that a failure to make a full and frank disclosure may be treated as evidence of untrustworthiness. This helps to minimise the possibility of disagreements which could lead to claims of discrimination.

### 5.3 How much is a job applicant required to disclose?

If a criminal record is relevant to a position, and an employee decides to volunteer information or is asked, he or she still may not have to disclose the complete criminal record. Exactly what information they are required to disclose depends on a variety of circumstances.

Generally, where there has been a finding of guilt but no conviction is recorded (for example when the offender is placed on a good behaviour bond but no conviction is recorded), and depending on what information is requested from the employer, a job applicant may not need to disclose this guilty finding. The situation might change if an employer specifically asks about ‘findings of guilt, with or without conviction’.

In addition, in most cases there is no requirement to disclose a spent conviction. However, some kinds of employment, for example employment where people will be working with children, are exempt from spent convictions legislation.

Further, there are some offences that never become spent, for example sex offences in some jurisdictions. See Section 3.2 on spent convictions laws.

#### Guideline 3

**Oral and written questions made during the recruitment process should not require a job applicant to disclose their spent convictions unless exemptions to spent convictions laws apply.**

### 5.4 Advertising job vacancies

If an employer decides that a criminal record is relevant to a particular job, an employer should state this requirement clearly in job advertisements, information sent out to job applicants and recruitment briefs to agencies.

Even if a criminal record is relevant, the advertisement and job information should also state, wherever possible, that the employer does not automatically bar people with a criminal record from applying (unless there is a particular requirement to do so under law).

This encourages an open exchange of information at the early stages of the recruitment process rather than down the track. It also means that an applicant can decide whether or not to apply for the position.

If an employer provides job information to job applicants, it may be useful for an employer to include a brief explanation of why certain offences may be relevant to the job.

Although the AHRC Act does not specifically prohibit discriminatory advertising with regard to criminal records, it is possible that a complaint of discrimination could be lodged because of a job advertisement. For example, a job advertisement that stated that job applicants, who are otherwise qualified, should not have a criminal record may constitute an impairment of equality of opportunity if it prevented a person from making a job application.

An advertisement could also state that more information can be sought on a confidential basis. In this case, a separate contact name should be given to ensure confidentiality. This contact person should not be involved in the selection process.

If an employer has an exemption from spent convictions laws, this should also be clearly stated on the advertisement.

#### **Guideline 4**

**Advertisements and job information for a vacant position should clearly state whether a police check is a requirement of the position. If so, the material should also state that people with criminal records will not be automatically barred from applying (unless there is a particular requirement under law).**

### **5.5 When to ask for a police check**

For most jobs, a police check should be requested only from short-listed applicants or from those invited to interview. This minimises:

- unnecessary and time-consuming administration involved with processing many consent to disclosure forms
- the expense, as police services charge for the police checking service
- the risk of confidential information being disclosed when it is not required.

#### **Example of a statement in a job advertisement which notifies job applicants about a requirement for a police check**

All final applicants for this position will be asked to consent to a police check. Please note that people with criminal records are not automatically barred from applying for this position. Each application will be considered on its merits.

#### **Example of a statement in a job advertisement notifying job applicants of spent conviction exclusion**

All final applicants for this position will be asked to consent to a police check. Please note that this position is exempt from the operation of spent convictions laws and all offences must be declared. However, all applications will be considered on their merits.

## 5. Recruitment

All applicants should be warned that their employment is dependent on an assessment of the results of their police check. This should be stated clearly on the job application form and explained carefully in interview.

Ideally, an employer should not make a final job offer before receiving the results of a police check. If an employee commences employment and training, and a criminal record comes back with a relevant conviction, it can cause undue distress for employees and wasted employer resources.

However, police checks may take a few days, or even weeks, to return to the employer. This is a problem when a position needs to be filled quickly. As a result, in certain cases an employer may need to start the process of obtaining criminal record information earlier in the process. This would only be the case where there was an urgent need to employ someone.

If an employer decides to hire a person prior to the police check, the employer should take steps to clearly inform the new employee that their employment is conditional. This is the case even if the new employee has not disclosed any convictions prior to a police check.

### 5.6 Who to ask for a police check

Police checks are available from:

- Australian police agencies
- CrimTrac.

Australian police agencies conduct a national police check on behalf of individuals and organisations. Individuals and organisations who request a police check from an Australian police agency will be issued with a National Police Certificate.

CrimTrac processes national police checks for police and organisations which have obtained accreditation status. CrimTrac does not process police checks for individuals or issue National Police Certificates. CrimTrac coordinates the processing of check requests submitted by police or accredited organisations and returns the results to the police or accredited organisation.

All police checks must be undertaken with the written consent of the person being checked, unless the check is mandated by relevant legislation.

Police agencies and CrimTrac have standard application/consent forms for requesting a police check, which include written consent and proof of identity. Contact details for Australian police agencies and CrimTrac are provided at the back of these Guidelines.

### What is disclosed in a police check?

A police check either indicates that no records are held or contains information obtained from police agencies that is able to be disclosed. What information can be disclosed is determined by each police agency based on legislation and information release policies.

A police check usually includes:

- court appearances
- court convictions, including any penalty or sentence
- findings of guilt with no conviction
- good behaviour bonds or other court orders
- charges
- matters awaiting court hearing.

It is not possible to limit the information requested to specific offences.

Spent convictions are not usually included, unless an exemption applies under the relevant legislation or information release policy (see section on spent convictions law). Generally, the police agency that is managing the check will apply its spent convictions legislation or information release policy to convictions recorded within that jurisdiction to determine which convictions can be disclosed. The rules regulating spent convictions differ in each jurisdiction.

Police checks conducted by Australian police agencies or CrimTrac can only be processed with the written consent of the individual concerned, unless the check is mandated by legislation.

It is always best to double-check any information on police checks with the job applicant or employee. For example, there may be a mistake in the identity of the person, or a conviction may be recorded when it should not have been.

Employers should ensure that the information about a person's police check and the police check itself are stored securely and is not disclosed to any other party without the consent of the individual concerned.

#### Guideline 5

**Criminal record checks should only be conducted with the written consent of the job applicant or current employee.**

#### Guideline 6

**Information about a person's criminal record should always be stored in a private and confidential manner and used only for the purpose for which it is intended.**

## 5.7 Requesting information about a person's criminal record prior to a police check

In general, it is not recommended that employers directly request criminal record information from job applicants prior to a police check.

If an employer asks a job applicant to disclose a criminal record in an application form, it means that an employer is collecting sensitive information from people who may or may not be shortlisted for the job, increasing the risk of breaches of privacy, and making them susceptible to complaints of criminal record discrimination. A police check will reveal the person's criminal record more accurately, explaining the criminal record in statutory terms rather than the common language of the applicant.

Of course, some applicants will decide to volunteer their criminal record at an earlier stage of the process.

If an employer does request information about a job applicant's criminal record prior to a police check, an employer should only ask relevant questions, and put in place processes to respect the privacy of the applicant. This encourages a free exchange of information.

For example, when framing questions, an employer should consider the relevance of:

- certain types of offences
- adult and juvenile offences
- spent convictions
- the differences between charges, findings of guilt with no-conviction and convictions.

The job applicant should be asked to submit their criminal record information on a separate sheet of paper to the main part of the job application, to ensure confidentiality. A statement reassuring the applicant about confidentiality should be included.

### Examples of questions asking for disclosure from job applicants

Note that these examples have applied Commonwealth spent convictions law, where a conviction can only become spent if the sentence imposed was 30 months of imprisonment or less. These are examples only. Employers should always tailor their questions to meet the specific needs of the particular employment area and position.

#### General questions asking for disclosure of non-spent convictions only

1. Do you have any convictions which were imposed as an adult and which are less than 10 years old? If yes, please list the offence, date of conviction, and sentence received for each offence.
2. Do you have any convictions which were imposed as a juvenile and which are less than 5 years old? If yes, please list the offence, date of conviction, and sentence received for each offence.
3. Do you have any convictions which are over 10 years old (or 5 years for juvenile convictions), where the sentence imposed was greater than 30 months imprisonment? If yes, provide details.

#### Question where the employer has a complete exclusion from Commonwealth spent convictions laws

Under Statutory Rule No 227 of 1990, Schedule 4 of the Crimes Regulations, this authority has been granted a complete exclusion from the application of Division 3 of Part VIIC of the *Crimes Act 1914* for the purpose of assessing an applicant's suitability for [name the relevant position]. You are therefore required to provide details of all criminal convictions or findings of guilt recorded against you.



### **Series of structured questions where there is a need to screen for certain convictions only**

It is an inherent requirement of the position of financial officer to be responsible for large amounts of money and to administer financial records. All previous convictions involving fraud or dishonesty are considered relevant to the position, although all applications will be assessed on a case-by-case basis.

1. Do you have any convictions for fraud or theft which were imposed as an adult and are less than 10 years old? If yes, provide details.
2. Do you have any juvenile convictions for fraud or theft which are less than 5 years old? If yes, provide details.
3. Do you have any convictions for fraud or theft which are over 10 years old (or 5 years for juvenile convictions), where the sentence imposed was greater than 30 months imprisonment? If yes, provide details.

### **5.8 Private background checking organisations**

There are a number of private background checking organisations which provide employers with criminal record details of individuals for a fee. The information is usually gained from court records or newspaper reports. These organisations are unable to obtain criminal history information through CrimTrac or police services.

Some private background checking organisations operate internet sites, where checks can be requested without the consent of the individual concerned. These organisations are covered by the Privacy Act. As they trade in personal information, they are not likely to be included under the small business exemption (see Section 6D(4)(c) of the Privacy Act). The employee record exemption is also unlikely to apply. Under the National Privacy Principles, organisations generally should not be collecting and disclosing sensitive information (i.e. criminal record information) without the consent of the individual concerned. See Appendix 2.

### **5.9 Interviews**

If a short-listed job applicant has already disclosed a relevant conviction to the employer, the selection interview provides an important opportunity to discuss the details of the person's conviction. However, it is advisable that employers not use the interview process to initiate questions about an applicant's criminal record without prior warning. Applicants should be given the chance to prepare themselves for questions regarding their criminal history, if the record is considered relevant.

An employer should **not** ask a job applicant a question about a criminal record based on the appearance or other characteristics of the applicant. This could legally expose employers to claims of discrimination on the basis of imputed criminal record, or claims of discrimination on other grounds such as race.

It is possible that a job applicant voluntarily discloses their criminal record for the first time at the interview. In this case, an employer should allow the applicant to explain their offence and the reasons why they are raising it in the interview. An employer may suggest that the applicant return for a second interview when the employer has had a chance to consider the relevance of the criminal record and ask further questions.

Questions about a job applicant's criminal record should not require an applicant to disclose a spent conviction or any conviction or offence which is irrelevant to the job

in question. Examples of broad ranging questions which may lead an applicant to reveal an irrelevant piece of information, such as a spent conviction, include

- Have you ever been in trouble with the police?
- Have you ever been to court?
- Have you ever been charged with a criminal offence?

## 5.10 Assessing a job applicant's criminal record against the inherent requirements of the job

In some cases, the connection between the criminal record and the job will be clear enough for the employer to decide easily on the suitability of the applicant for the job. For example, the employment of a person with a particular criminal record may be prohibited by legislation.

However, *in most cases* it will be unclear to the employer simply on the basis of the results of a police check alone whether or not the conviction or offence is relevant to the inherent requirements of the job. The result of a police check may include information which an employer may not fully understand, and may also include errors. Police checks also only include very basic information and do not include any details about the circumstances of the offence.

An employer will generally need to discuss the relevance of the criminal record with the job applicant, or invite them to provide further information, in order to assess whether the person can meet the inherent requirements of the job.

A discussion with the job applicant may take place in the standard interview process, as discussed above. The employer may also wish to provide the job applicant with the opportunity to discuss the criminal record with one person only, rather than with an entire interview panel. An employer may also provide the questions he or she wishes to discuss in writing prior to the meeting.

The type of information which an employer may need to consider when assessing the relevance of a person's criminal record includes:

- the seriousness of the conviction or offence and its relevance to the job in question
- whether in relation to the offence there was a finding of guilt but without conviction, which indicates a less serious view of the offence by the courts
- the age of the applicant when the offences occurred

- the length of time since the offence occurred
- whether the applicant has a pattern of offences
- the circumstances in which the offence took place, for example if it was an offence that took place in a work, domestic or personal context
- whether the applicant's circumstances have changed since the offence was committed (for example, past drug use)
- whether the offence has been decriminalised by Parliament or it was an offence overseas but not in Australia
- the attitude of the job applicant to their previous offending behaviour
- references from people who know about the offending history.

This process is also relevant when considering the criminal record of a current employee against the requirements of their current position, promotion or transfer.

The more information available to the employer, the greater the likelihood that an employer can exercise reasonable judgment in assessing the connection between the criminal record and the inherent requirements of the job.

Given the assessment process described above, it is likely that an employer will scrutinise such an applicant more heavily than other applicants. Employers should be aware that this extra scrutiny may place added pressures on such applicants and employers should do their best to make the process as open as possible.

### Guideline 7

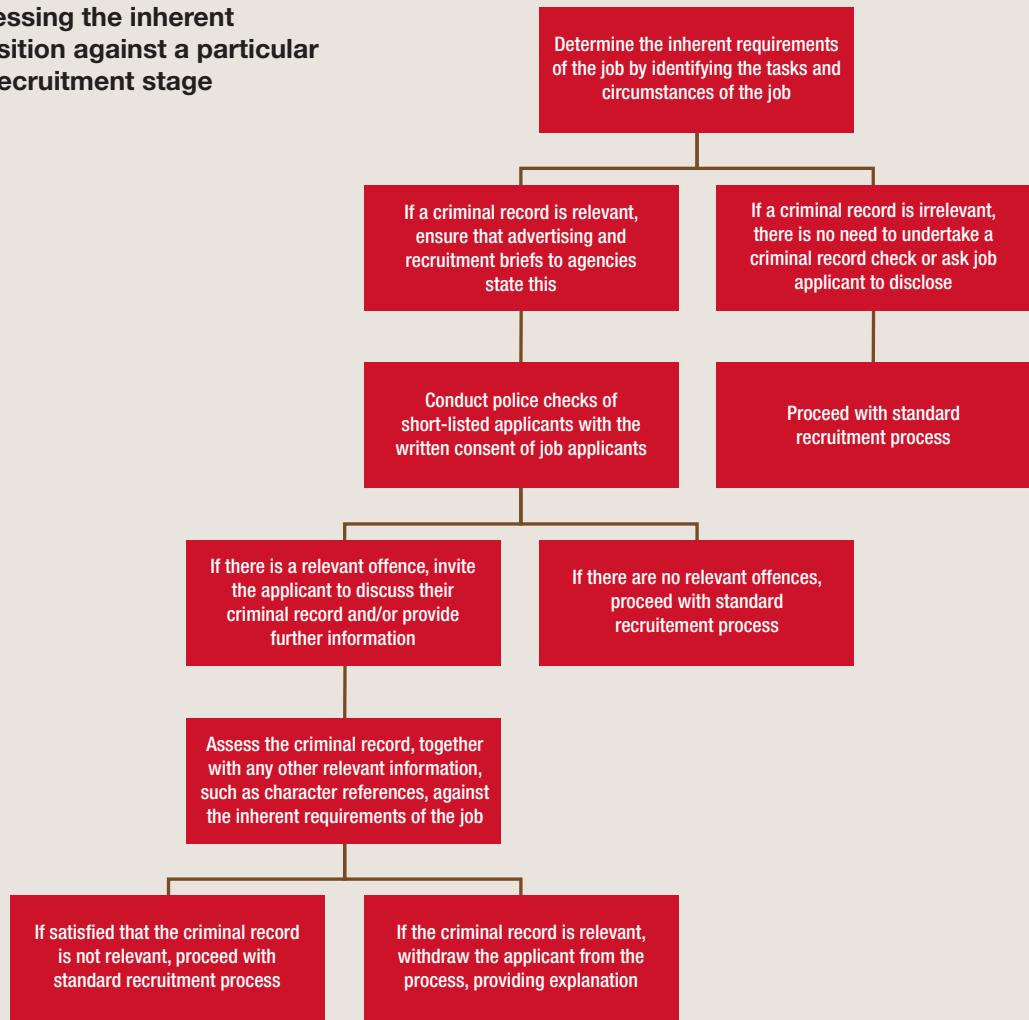
**The relevance of a job applicant or employee's convictions should be assessed on a case-by-case basis against the inherent requirements of the work he or she would be required to do and the circumstances in which it has to be carried out. A criminal record should not generally be an absolute bar to employment of a person.**

### Guideline 8

**If an employer takes a criminal record into account in making an employment decision, in most cases the employer should give the job applicant or employee a chance to provide further information about their criminal record including, if they wish, details of the conviction or offence, the circumstances surrounding the offence, character references or other information, before determining the appropriate outcome in each case.**

## 5. Recruitment

**Figure 1: Steps for assessing the inherent requirements of the position against a particular criminal record at the recruitment stage**



### 5.11 Feedback to job applicants on recruitment decisions

Once an employer has made a decision about a job applicant, an employer should give the person with a criminal record some feedback about the process.

If the job applicant is successful, he or she may be worried about whether the criminal record will be kept confidential. An employer should provide an assurance to the new employee that information about their convictions will not be disclosed to colleagues.

If the job applicant is unsuccessful, the employer should, where possible, explain the reasons for the rejection. Standard letters of rejection, however polite, reinforce

the assumption of many people with a criminal record that disclosure leads to adverse consequences.

An employer could explain the following possible factors:

- that he or she was rejected because a conviction was considered relevant, and why
- constructive feedback on the job applicant's handling of the issue in interview
- any other reasons why the applicant was unsuccessful.

Details about the applicant's convictions should be kept only as long as necessary for the selection process.

# 6. Employment

## 6.1. Conditions of employment and discrimination on the basis of criminal record

The Commission accepts complaints of discrimination on the basis of criminal record from people who allege that they have been discriminated against in their conditions of employment. For example some people may feel discriminated against because they have been denied promotion or training on the basis of their criminal record. As with recruitment and termination decisions, an employer should only deny a person these benefits and conditions of employment if the criminal record is relevant to the inherent requirements of the job.

An employer should also ensure that the workplace is free from harassment for people with a criminal record. Ongoing harassment of an employee, by either an employer or other work colleagues, on the basis of criminal record, could constitute discrimination under the AHRC Act. It could also expose an employer to allegations of privacy breaches or of failure to ensure occupational health and safety in the workplace. An employer has a responsibility to treat all workers with respect and provide a safe workplace free from harassment.

A common complaint by people with a criminal record is that they are the first to be suspected when something has been stolen at the workplace. An employer should ensure that every person is questioned equally unless there is evidence to the contrary, without resorting to presumptions or stereotypes.

## 6.2 Requesting criminal record information from current employees

In general, there is rarely a need for employers to ask current employees for their criminal record details. However, changes in the law or the workplace may have created a new organisational or industry-wide requirement to check the criminal records of some or all employees for relevant convictions. For example, there are new laws requiring background checks for employees working with children.

In these cases, an employer should only ask a current employee for information concerning their criminal record if it is a *specific question* and that question and the criminal record are relevant to the job.

## Example of Commission complaint: Harassment on the basis of criminal record

The complainant claimed that his employer insinuated that he was responsible for freight that had gone missing on a number of occasions. The complainant had a criminal record related to entering and stealing, and had gone to prison in 1996.

*It has caused me a tremendous amount of stress and worry. I am left anxious, angry and confused about my future work prospects. I feel that I'll never be accepted within the workplace and that my efforts were not recognised or rewarded. It has made me feel alienated, targeted and different. It's made me just want to give up working ever again to avoid the stress, worry, humiliation that I've endured. It's also placed a strain on my home life* (complainant's statement on the Commission's complaints form).

### Outcome

The matter was conciliated. The employer offered the complainant a redundancy package and the complainant withdrew the complaint.

### Employer example

A large insurance company introduced a policy for the background checking, including criminal record checking, of job applicants for many positions within the organisation. It found that the criminal records of some current employees were revealed for the first time when they applied for new jobs within the organisation. In one case this led to the dismissal of an employee because the offences and the manner of not disclosing were relevant to the position. However, in many cases of external applicants applying for roles and disclosing criminal conviction, the candidate is still offered the role.

For example, one candidate was discovered to have a shoplifting offence, but this was considered in conjunction with other factors, and determined to be irrelevant to the administrative position that had been applied for. It is also company practice to give a job applicant and current employee a chance to have an interview concerning their criminal record before a detrimental decision is made.

An employee relations officer from the company told the Human Rights Commissioner in project consultations that:

*One of the issues in relation to the introduction of this policy was a concern by managers that we would make knee-jerk decisions and that anyone that had even a minor conviction would be excluded from employment. Many of those fears have been allayed over the period of time that the policy has been in place because they have seen us make mature, appropriate decisions.*

Refer to Section 4.2 which outlines the main principles and processes involved in determining the inherent requirements of a job.

### 6.3 What happens if an employee failed to disclose their criminal record at the recruitment stage?

Sometimes a previously undisclosed conviction comes to light during the course of employment.

If the criminal record is relevant to the job, and an employee failed to disclose the criminal record at the recruitment stage when asked, an employer may have grounds for dismissing an employee.

However, an employer should think very carefully before taking this action.

The employer should consider:

- the relevance of the disclosed conviction to the particular job
- the reasons why the employee did not reveal the criminal record. Remember that there is no universal obligation for an applicant to voluntarily disclose a previous conviction
- the employee's work history with the employer
- any obligations under unfair dismissal laws.

If the offence for which the conviction was received is relevant, the employer may still take some alternative action other than dismissal. The employer could choose to keep the employee but transfer them to another position, or reorganise their duties so that their criminal record is not relevant to the new position. Failure to consider these matters and possible options other than dismissal may lead to a claim of unfair dismissal.

If the criminal record is irrelevant to the job, an employer should not dismiss an employee on the basis of their criminal record. A dismissal in these circumstances could amount to discrimination under the AHRC Act and may lead to a complaint to the Commission.

Dishonesty in the course of recruitment can provide a ground for termination under unfair dismissal laws but has been held to be supportable only where either the criminal record or the fact of dishonesty is relevant to the position.<sup>46</sup> The longer the employee's service with the employer, and the more exemplary the conduct of the employee, the more likely it is that the dismissal will be found to be harsh, unjust or unreasonable by industrial courts.

# 7. Dismissal

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As discussed in Section 6.3, there may be circumstances where an employer decides to dismiss an employee on the basis of criminal record.

However, this step should never be taken lightly and should constitute a last resort for the employer after a consideration of all the issues. This will involve a consideration of an employer's legal responsibilities under anti-discrimination law and unfair dismissal laws (see Section 3).

An employer should only dismiss an employee on the basis of criminal record if the criminal record or failure to disclose is relevant to the inherent requirements of the job.

Section 4 sets out the factors which should be considered and the steps which should be followed when assessing the inherent requirements of a job and the relevance of an individual's criminal record against those requirements.

In most cases, an employer should not assess a person's criminal record as relevant without considering a range of factors including the nature and background of the offence. In order to assess this accurately, an employer will generally need to provide the employee with an opportunity, prior to a final decision, to discuss the criminal record and provide any material relevant to an assessment of the employee's suitability for the position. A final decision should not take place without providing this opportunity to the employee.

If there are no alternatives to dismissal of an employee, an employer should treat the dismissed employee with dignity and respect their privacy. This may include:

- explaining the reasons for the decision in full
- providing all entitlements on termination to pay and leave as required
- providing references where appropriate
- ensuring that information about the person's criminal record, including information relating to the dismissal, are kept confidential
- ensuring that relevant privacy, anti-discrimination and unfair dismissal laws are complied with.

# 8. Issues for special organisations

## Licensing body example

The Nursing and Midwifery Board of Australia is responsible for registering nursing and midwifery practitioners under a new national registration and accreditation scheme, established by the *Health Practitioner Regulation National Law Act 2009*.

Under this National Law, an application form for registration as a nurse requires an individual to disclose their criminal history, which includes every conviction, every plea of guilty or finding of guilt, and every charge made against a person. In addition, spent convictions legislation does not apply to these criminal history disclosure requirements. The Board may decide that a person is not suitable to hold general registration if it decides that the individual's criminal history is relevant to the practice of the profession. However, there is no automatic disqualification from a licence because of a criminal record. Under the Nursing and Midwifery Criminal History Registration Standard, every case will be considered individually. There are ten factors that need to be considered in assessing individual cases:

- the nature and gravity of the offence or alleged offence and its relevance to health practice
- the period of time since the health practitioner committed, or allegedly committed, the offence
- whether a finding of guilt or a conviction was recorded for the offence or a charge for the offence is still pending
- the sentence imposed for the offence
- the ages of the health practitioner and of any victim at the time the health practitioner committed, or allegedly committed, the offence
- whether or not the conduct that constituted the offence or to which the charge relates has been decriminalised since the health practitioner committed, or allegedly committed, the offence
- the health practitioner's behaviour since he or she committed, or allegedly committed, the offence
- the likelihood of future threat to a patient of the health practitioner
- any information given by the health practitioner
- any other matter that the Board considers relevant.<sup>47</sup>

## 8.1 Licensing and registration organisations

There are an increasing number of professions and occupations which require licensing and registration before employment is possible. Key examples include teaching, nursing, casino workers, taxi drivers and bus drivers. Usually licensing and registration organisations apply specific legislation that requires a criminal check for each individual applicant.

The refusal of a licence or registration by an organisation on the basis of a person's criminal record may constitute discrimination under the AHRC Act. Even though a licensing board may not be directly responsible for employment decisions, it may be involved in making a distinction which has the effect of impairing employment opportunities on the basis of criminal record.

In order to avoid discrimination under the AHRC Act, licensing and registration organisations should ensure there is an opportunity for an individual assessment of a person's particular criminal record and the correlation between the criminal record and the inherent requirements of the job as set out in the licensing or registration regimes. This does not necessarily prevent a licensing body from developing criteria concerning the admission of people with certain criminal records. However, licensing rules and regulations ought to ensure that there is an opportunity for individuals to state their case.

Further, it may be necessary to take into account the fact that a wide variety of 'particular jobs' may exist within a profession. For example, a person with a security industry licence could be a personal bodyguard, a pub bouncer or a person monitoring security videos in a control room. Each of these positions may require a security licence but the inherent requirements of the particular job may be quite different. Therefore, it may be necessary for licensing rules to permit some distinction between different jobs within an industry.

As discussed in Section 4.5, although a law may provide for a licensing body to exclude an applicant who is not of 'good character', this may not necessarily enable a licensing body to exclude a particular person with a criminal record.

## 8.2 Employment agencies

Discriminatory practices by employment agencies may give rise to discrimination under the AHRC Act. Employment agencies should not discriminate on the basis of criminal record in their practices even if they are acting on behalf of employers. These Guidelines apply to employment agencies as well as employers.

### Should an employment agency request criminal record details from a job applicant?

Whether an employment agency should request criminal record details from a job applicant or not depends on the type of service offered by the agency and its relationship with the employer.

For example, if an employment agency assists job seekers with resumes and interview techniques generally, and there is no relationship with a particular employer, there is no reason why an agency should ask a job applicant to disclose a criminal record. This question can be asked by employers themselves if they consider it necessary.

However, if the job seeker voluntarily discloses details of their criminal record to an agency and asks for assistance with preparing answers to questions about their criminal record, an agency may wish to assist the job seeker with information and guidance. An agency must still be aware of their obligations to maintain the privacy of the job seeker and not disclose any information regarding the criminal record without the consent of the job seeker.

If an employment agency has a closer relationship with employers, that is, it conducts the recruitment process on behalf of employers, the agency may request criminal record details from job applicants in appropriate circumstances. However, this should only occur where:

- there is a specific job in question, and it has been identified that a criminal record is relevant to the inherent requirements of that job. If there is a legislative requirement that certain convictions be disclosed, for example for the purposes of working with children, then it will be relevant to the job and an agency should inform the job applicant that they must disclose their offences
- the job applicant is fully informed of the reasons why a criminal record check might be relevant.

If a job applicant does not provide consent for a criminal record check, then an employment agency should not disqualify a job applicant from being put forward to an employer.<sup>48</sup> Instead, the agency could inform the employer that consent for disclosure has not been obtained. Employers can conduct their own criminal record check if they consider it relevant, having already had an opportunity to assess the merits of the job application.

### Does an employment agency have a legal obligation towards an employer when a job applicant discloses a relevant criminal record?

The more extensive the employment agency's involvement in the placement of an employee, the greater the likelihood that the agency will owe some form of duty to the employer to ensure that the selected job applicant is suitable for employment in that particular job. However, this will depend on the particular facts of each case and the precise nature of the relationship between the parties.<sup>49</sup> An employment agency which has knowledge of a jobseeker's prior convictions that are relevant to the proposed employment and the circumstances of that employment has a duty of care not to refer the jobseeker for interview or to refer them only after having informed the potential employer of the jobseeker's criminal history, with the consent of the jobseeker.<sup>50</sup>

If an employment agency has involvement in the placement of an employee, an agency should always advise employers that they should make their own inquiries with respect to recommended applicants.

### Can an employment agency apply for police checks with the consent of job applicants?

Employment agencies can request a national police check from Australian Police Agencies or CrimTrac. Police checks can only be conducted with the consent of the job applicant, unless mandated by legislation.

Employment agencies can only request from CrimTrac if they have become accredited with CrimTrac for this purpose. In order to be eligible for accreditation, an employment agency would need to process more than 500 requests for police checks within a three year period.

# 9. Policies and procedures for preventing criminal record discrimination

Workplace policies and procedures on employing people with a criminal record can go some way to preventing discrimination. Having a policy and procedure is about creating a workplace environment that promotes fair and lawful treatment of job applicants and employees, rather than reacting, even if appropriately, to a problem when it occurs.

Due to the nature of the work, some employers already have in place comprehensive policies and procedures on employing people with a criminal record. Other employers may feel that criminal record issues are rarely raised in the workplace, and that there is no need to undertake preventative measures.

If an employer has identified that criminal record information is not relevant to the range of jobs in the workplace, *then it may not be necessary to develop a specific policy.*

Nonetheless, to reach that conclusion, each employer, no matter how small, should at least carefully consider the inherent requirements of employment at the workplace and reflect on how they would treat a job applicant or employee with a criminal record if that situation arose.

## 9.1 A written policy and procedure

If an employer decides that a criminal record is relevant to the positions of a workplace, a written policy can help ensure that all staff have an understanding of the organisation's requirements and the legal obligations of the organisation towards people with a criminal record. A policy and an outline of procedure can be incorporated into other workplace policy on equal opportunity and anti-discrimination if such policy exists.

Ideally, a policy and procedure would include:

- a statement about the employer's commitment to treating people with a criminal record fairly and in accordance with anti-discrimination, spent conviction and privacy laws
- a brief summary of employee and employer rights and responsibilities under these laws, or inclusion of up-to-date literature which provides this information
- an outline of other relevant legal requirements for the workplace, such as the employer's responsibilities under licensing and registration laws, or working with children laws

- the procedure for assessing the inherent requirements of the position, requesting criminal record information if necessary and assessing individual job applications or employee histories
- information on internal or external complaint or grievance procedures if someone thinks they have been unfairly treated
- designated officers with responsibility for different elements of the procedure.

In order for a policy to gain widespread acceptance, it is vital that staff, workplace representatives and management are involved in the development of the policy.

Developing appropriate policies and procedures does not have to be overly complex or long. However, any policy should be clear, informative and available to all staff and job applicants.

### Guideline 9

**If criminal record information is considered relevant, an employer should have a written policy and procedure for the employment of people with a criminal record which can be incorporated into any existing equal opportunity employment policy, covering recruitment, employment and termination.**

## 9.2 Training of staff

Staff involved in recruiting and personnel decisions should be especially trained in the policies and procedures of the organisation and any applicable legal requirements.

However, all staff should at least receive a copy of any written policy which outlines the right of employees and job applicants to be treated without discrimination and with respect for their privacy. It may also be useful to circulate the Key Points from these Guidelines to relevant staff.

### Guideline 10

**If criminal record information is considered relevant, an employer should train all staff involved in recruitment and selection on the workplace policy and procedure when employing someone with a criminal record, including information on relevant anti-discrimination laws.**

### **9.3 Grievance and complaint process**

Internal grievance procedures will maximise the possibilities for resolving a complaint within an organisation. This is especially relevant for decisions regarding current employees.

Many licensing and registration organisations also have review mechanisms for decisions to reject or revoke a licence or registration, which provides extra insurance that the organisation has acted fairly and lawfully.

However, in some cases, for example small business, external complaints procedures are more appropriate.

Job applicants and employees who feel that they have been discriminated against on the basis of their criminal record should be informed of their right to complain to the Commission or the relevant state and territory equal opportunity body. A person can also complain to these bodies regardless of whether there is an internal grievance procedure in place.

# Appendix 1:

# The Australian Human Rights Commission's complaint process

## What is the Commission's role in relation to complaints?

- Federal human rights law says that people can make complaints to the Commission about discrimination in employment or occupation because of their criminal record. Complaints must be made in writing.
- When the Commission receives a complaint about an issue that is covered by the law, the President of the Commission can inquire into the complaint and try to resolve the complaint by conciliation.
- Commission staff who deal with complaints on behalf of the President, are not advocates for the person making the complaint (the complainant) or the person/organisation the complaint is about (the respondent).

## What happens when the Commission receives a complaint?

- The Commission may contact the complainant to get more information about the complaint. Complainants should provide the Commission with relevant information and documents to support a complaint.
- Generally, the Commission will tell the respondent about the complaint and give the respondent a copy of the complaint.
- The Commission may ask the respondent to provide specific information or a detailed response to the complaint.
- It is the Commission's usual practice to give the complainant a copy of information and documents the respondent provides to the Commission.
- Where appropriate, the Commission will invite the complainant and respondent (the parties) to participate in conciliation.
- Parties do not need a lawyer to take part in the complaint process. If parties want a lawyer or advocate, they need to organise this themselves. Organisations such as Community Legal Centres, advocacy organisations, trade unions and industry/employer groups may be able to provide parties to a complaint with information, advice and/or representation.

## What is conciliation?

- Conciliation is an informal process that allows the complainant and the respondent to talk about the issues in the complaint and try to find a way to resolve the matter.
- Conciliation is not like a court hearing. The conciliator does not decide who is right or wrong and the conciliator does not decide how the complaint should be resolved.
- The conciliator is there to help ensure the process is fair and to help both sides discuss and negotiate an outcome. The conciliator can also provide information about the law and how it has been interpreted.
- Conciliation can take place in a face-to-face meeting called a 'conciliation conference' or through a telephone conference. In some cases complaints can be resolved through an exchange of letters or by passing messages through the conciliator.
- The conciliator decides how the conciliation process will run and who will participate. Parties can ask to bring a support person or an advocate to assist them in the conciliation process. If parties need special assistance such as a language or sign language interpreter, the Commission can arrange this.
- Conciliation is a confidential process in that the President will not consider information about anything that is said or done in conciliation if the complaint does not resolve and the President is required to make a decision about the complaint. Parties should not bring new documents or information they want to rely on to a conciliation conference. This information should be provided to the Commission before the conciliation conference takes place.
- Complaints can be resolved in many different ways. De-identified examples of complaints and how they have been resolved are available on the Commission's Conciliation Register – [www.humanrights.gov.au/complaints\\_information/register/index.html](http://www.humanrights.gov.au/complaints_information/register/index.html).

## What happens if a complaint is not resolved?

- If the complaint is not resolved, the Commission may request more information from the parties before making a final decision about the complaint.
- The President may decide not to continue with a complaint where, for example, the President is of the opinion that a complaint is lacking in substance or that it has already been adequately dealt with.
- If the complaint is not resolved and the President is satisfied that discrimination has occurred, the President may report the matter to the Federal Attorney-General. The President can make recommendations in this report to compensate a complainant for any loss or injury the complainant has experienced. The report must be tabled in Parliament.

## Further information

- More information is available on the Complaints section of the Commission's website – [www.humanrights.gov.au](http://www.humanrights.gov.au).
- The Commission also has a DVD about conciliation which can be viewed on the Commission's website – [www.humanrights.gov.au/complaints\\_information/pathways\\_to\\_resolution/index.html](http://www.humanrights.gov.au/complaints_information/pathways_to_resolution/index.html).

# Appendix 2:

# Summary of National Privacy Principles relevant to criminal record information

Summary of National Privacy Principles obligations under the Privacy Act relevant to criminal record information.

## 1. Collection

An organisation covered by the Privacy Act must only collect necessary criminal record information (for example, this should be information relevant to the job in question) and must collect it fairly and lawfully.

## 2. Use and disclosure

An organisation covered by the Privacy Act must only use or disclose criminal record information in ways that are related to the primary reason for collecting the information and which individuals would reasonably expect to happen, or with the consent of the individual to the use or disclosure. For example, an employer may use or disclose personal information to protect the health and safety of any person, or if they think that an unlawful activity has occurred, and the use of the disclosure is a necessary part of investigation or reporting the unlawful activity.

## 3. Data quality

An organisation covered by the Privacy Act must take reasonable steps to check that the criminal record information is of sufficient quality – accurate, complete and up-to-date – for the purpose. For example, this may mean asking the job applicant to verify the details on a police record check.

## 4. Data security

An organisation covered by the Privacy Act must keep criminal record information safe when it is in use and dispose of it securely when the organisation is finished with it. For example, relevant criminal record information collected from job applicants may need to be disposed of as soon as the job applicant is unsuccessful in gaining the job, unless it is needed for future applications and the job applicant consents to this.

## 5. Openness

An organisation covered by the Privacy Act must have a written policy outlining how the organisation manages personal information. On request, the organisation must provide a copy of the policy.

## 6. Access and correction

An organisation covered by the Privacy Act must give individuals access to all the criminal record information they hold about them unless one of the exceptions under NPP6.1 applies. It should also take steps to correct the information if it is wrong or give the individual reasons why it cannot be corrected. If an individual asks for correction of the information, a statement should be attached saying the individual disagrees with the information.

## 9. Transborder data flows

Where there may be a need for an organisation covered by the Privacy Act to transfer criminal record information overseas, NPP 9 prevents an organisation from disclosing personal information to someone in a foreign country that is not subject to a comparable information privacy scheme, except where it has the individual's consent or in some other limited circumstance.

## 10. Sensitive information

Criminal record information is sensitive information for the purposes of the NPPs. With some specified exemptions under NPP 10.1, such as if required by law, NPP 10 prohibits the collection of sensitive information about an individual unless the individual has consented first.

# Useful contacts

## Australian Human Rights Commission

Level 3, 175 Pitt Street  
SYDNEY NSW 2000

GPO Box 5218  
SYDNEY NSW 2001

Telephone: (02) 9284 9600  
Complaints Infoline (local call): 1300 656 419  
General enquiries and publications: 1300 369 711  
TTY: 1800 620 241  
Fax: (02) 9284 9611  
Website: [www.humanrights.gov.au](http://www.humanrights.gov.au)  
Email: [complaintsinfo@humanrights.gov.au](mailto:complaintsinfo@humanrights.gov.au)

Complaints Information Web Pages at:  
[www.humanrights.gov.au/complaints\\_information/index.html](http://www.humanrights.gov.au/complaints_information/index.html)

Information on criminal record discrimination can be found at:  
[www.humanrights.gov.au/human\\_rights/criminalrecord](http://www.humanrights.gov.au/human_rights/criminalrecord)

## ACT Human Rights Commission

(for discrimination on the basis of spent convictions)

Level 4, 12 Moore Street  
CANBERRA ACT 2601

Telephone: (02) 6205 2222  
TTY: (02) 6205 1666  
Website: [www.hrc.act.gov.au](http://www.hrc.act.gov.au)  
Email: [human.rights@act.gov.au](mailto:human.rights@act.gov.au)

## Equal Opportunity Commission Western Australia

(for discrimination on the basis of spent convictions)

PO Box 7370  
Cloisters Square  
PERTH WA 6850

Telephone: (08) 9216 3900  
Country callers: 1800 198 149  
TTY: (08) 9216 3936  
Website: [www.eoc.wa.gov.au/Index.aspx](http://www.eoc.wa.gov.au/Index.aspx)  
Email: [eoc@eoc.wa.gov.au](mailto:eoc@eoc.wa.gov.au)

## Northern Territory Anti-Discrimination Commission

LMB 22 GPO  
DARWIN NT 0801

Telephone: (08) 8999 1444  
Freecall: 1800 813 846  
TTY: (08) 8999 1466  
Website: [www.adc.nt.gov.au](http://www.adc.nt.gov.au)

## Office of the Anti-Discrimination Commissioner (Tasmania)

GPO Box 197  
HOBART TAS 7001

Telephone: (03) 6233 4841  
Statewide local call: 1300 305 062  
TTY: 133 677 then ask for 1300 305 062  
Website: [www.antidiscrimination.tas.gov.au](http://www.antidiscrimination.tas.gov.au)  
Email: [AntiDiscrimination@justice.tas.gov.au](mailto:AntiDiscrimination@justice.tas.gov.au)

## Office of the Australian Information Commissioner

(incorporating the Privacy Commissioner since November 2010)

GPO Box 5218  
SYDNEY NSW 2001

Telephone: 1300 363 992  
(local call cost from anywhere in Australia)  
TTY: 1800 620 241  
Website: [www.privacy.gov.au](http://www.privacy.gov.au)  
Email: [enquiries@oaic.gov.au](mailto:enquiries@oaic.gov.au)

## Fair Work Australia

Fair Work Australia has offices in each capital city and in some regional centres. To locate your nearest office or for a postal address, visit:  
[www.fwa.gov.au/index.cfm?pagename=headercontact](http://www.fwa.gov.au/index.cfm?pagename=headercontact)

Telephone: 1300 799 675  
Website: [www.fwa.gov.au](http://www.fwa.gov.au)  
Email: [inquiries@fwa.gov.au](mailto:inquiries@fwa.gov.au)

## Police checking services

### Australian Federal Police

Australian Federal Police  
Criminal Records  
Locked Bag 8550  
CANBERRA CITY ACT 2601

Telephone: (02) 6202 3333  
Website: [www.afp.gov.au/what-we-do/police-checks/national-police-checks.aspx](http://www.afp.gov.au/what-we-do/police-checks/national-police-checks.aspx)

### New South Wales Police Force

Criminal Records Section  
Locked Bag 5102  
PARRAMATTA NSW 2124

Telephone: (02) 8835 7888  
Website: [www.police.nsw.gov.au/about\\_us/structure/specialist\\_operations/forensic\\_services/criminal\\_records\\_section](http://www.police.nsw.gov.au/about_us/structure/specialist_operations/forensic_services/criminal_records_section)  
Email: [crs@police.nsw.gov.au](mailto:crs@police.nsw.gov.au)

### Northern Territory Police Force

Safe NT  
NT Police and Fire Emergency Services  
PO Box 39764  
WINNELLIE NT 0821

Telephone: 1800 723 368  
Website: [www.nt.gov.au/pfes/police/aspx](http://www.nt.gov.au/pfes/police/aspx)  
Email: [safent.police@nt.gov.au](mailto:safent.police@nt.gov.au)

### Queensland Police

Police Information Centre  
GPO Box 1440  
BRISBANE QLD 4001

Telephone: (07) 3364 6705  
Website: [www.police.qld.gov.au/pr/about/pri\\_plan.shtml#procedure](http://www.police.qld.gov.au/pr/about/pri_plan.shtml#procedure)  
Email: [pic.clo@police.qld.gov.au](mailto:pic.clo@police.qld.gov.au)

### South Australia Police

Information Services Branch  
GPO Box 1539  
ADELAIDE SA 5001

Telephone: (08) 7322 3347  
Website: [www.police.sa.gov.au/sapol/services/information\\_requests/police\\_checks.jsp](http://www.police.sa.gov.au/sapol/services/information_requests/police_checks.jsp)  
Email: [SAPOL.records@police.sa.gov.au](mailto:SAPOL.records@police.sa.gov.au)

### Tasmania Police

Criminal History Services  
Tasmania Police  
GPO Box 308  
Hobart TAS 7001

Telephone: (03) 6230 2928 or (03) 6230 2929  
Website: [www.police.tas.gov.au/services-online/police-history-record-checks/](http://www.police.tas.gov.au/services-online/police-history-record-checks/)  
Email: [criminalhistoryservices@police.tas.gov.au](mailto:criminalhistoryservices@police.tas.gov.au)

### Victorian Police

Public Enquiry Service  
PO Box 919  
MELBOURNE VIC 3001

Telephone: 1300 881 596  
Website: [www.police.vic.gov.au/content.asp?Document\\_ID=274](http://www.police.vic.gov.au/content.asp?Document_ID=274)

### Western Australia Police

Information Release Unit  
WA Police  
Locked Bag 35  
Perth Business Centre  
PERTH WA 6849

Telephone: (08) 9268 7754  
Website: [www.police.wa.gov.au/OurServices/PoliceChecks/tabid/1202/Default.aspx](http://www.police.wa.gov.au/OurServices/PoliceChecks/tabid/1202/Default.aspx)  
Email: [information.release.centre@police.wa.gov.au](mailto:information.release.centre@police.wa.gov.au)

### CrimTrac Agency

GPO Box 1573  
CANBERRA CITY ACT 2601

Telephone: (02) 6268 7900  
Website: [www.crimtrac.gov.au](http://www.crimtrac.gov.au)

## Endnotes

- 1 Under the *Australian Human Rights Commission Act 1986* (Cth) (AHRC Act), the Australian Human Rights Commission has various functions aimed at fostering equality of opportunity in employment, including preparing and publishing guidelines to prevent discrimination in employment: AHRC Act, s 31(h).
- 2 As of January 2012, there have been six cases where the Commission has made a finding of discrimination on the basis of criminal record. In these cases the recommendations made by the Commission were either not followed by the employer, or it was unclear whether action had been taken by the employer. Human Rights and Equal Opportunity Commission (HREOC, previous name of Australian Human Rights Commission), *Reports of inquiries into complaints of discrimination in employment on the basis of criminal record*, Mr Mark Hall v NSW Thoroughbred Racing Board, HREOC Report No. 19 (Hall's Case); HREOC, Ms Renai Christensen v Adelaide Casino Pty Ltd, HREOC Report No. 20 (Christensen's Case), 2002; HREOC, *Report of an Inquiry into a complaint by Ms Tracy Gordon of discrimination in employment on the basis of criminal record*, HREOC Report No. 33, 2006; HREOC, *Report of an inquiry into a complaint by Mr Frank Ottaviano of discrimination in employment on the basis of criminal record against South Australia Police (State of South Australia)*, HREOC Report No. 38, 2007 (Ottaviano's Case); Australian Human Rights Commission (AHRC), Mr KL v State of NSW (Department of Education) – Report into discrimination in employment on the basis of criminal record, AusHRC 42, 2010; AHRC, Mr CG v State of NSW (RailCorp NSW) – Report into discrimination in employment on the basis of criminal record, AusHRC 48, 2012. All reports are available online at [www.humanrights.gov.au/legal/humanrightsreports/index.html](http://www.humanrights.gov.au/legal/humanrightsreports/index.html). (Viewed 13 March 2012).
- 3 International Labour Conference, Equality in Employment and Occupation: General Survey by the Committee of Experts on the Application of Conventions and Recommendations ILO, Geneva, 1988.
- 4 Hall's Case, p 20.
- 5 Section 3(1), AHRC Act.
- 6 Section 3(1), AHRC Act.
- 7 Section 4.
- 8 Section 37.
- 9 Section 26, NT Anti-Discrimination Act 2004. It does not apply if the person proves on the balance of probabilities that the information was reasonably required for a purpose that did not involve discrimination. It also does not apply to a request that is necessary to comply with a law of the Territory or Commonwealth, order of a court, provision of an order of court or tribunal having the power to fix minimum wages and other terms of employment, a provision of an industrial agreement, an order of the Commissioner.
- 10 Section 50.
- 11 Anti-Discrimination Act 1992 (NT), s 88; Anti-Discrimination Act 1998 (Tas), s 89.
- 12 Spent Convictions Act 1988 (WA); Equal Opportunity Act 1984 (WA); Discrimination Act 1991 (ACT), s 7; Spent Convictions Act 2000 (ACT).
- 13 Crimes Act 1914 (Cth); Criminal Records Act 1991 (NSW); Criminal Law (Rehabilitation of Offenders) Act 1986 (QLD); Spent Convictions Act 2000 (ACT); Criminal Records (Spent Convictions) Act 1992 (NT); Spent Convictions Act 1988 (WA); Anulled Convictions Act 2003 (Tas); Spent Convictions Act 2009 (SA).
- 14 State and Territory privacy laws are: Privacy and Personal Information Protection Act 1998 (NSW); Information Privacy Act 2000 (VIC); Personal Information Protection Act 2004 (Tas); Northern Territory Information Act 2002 (NT), Information Privacy Act 2009 (Qld). The South Australian Government has issued Cabinet Administrative Instruction 1/89 (the 'Information Privacy Principles (IPPS) Instruction, and Premier and Cabinet Circular 12, as amended by Cabinet 18 May 2009, which applies to South Australian government agencies. The Commonwealth Privacy Act 1988 applies to the ACT. No privacy legislation exists in Western Australia.
- 15 At the time of writing, the scope of this exemption is currently under review by the federal Department of Employment and Workplace Relations and Attorney-General's Department.
- 16 Only employees covered by the national workplace relations system are covered by the unfair dismissal laws. Other employees may have access to remedies under State legislation. The following employees are *not covered* by the national workplace relations laws: those employed by State government in New South Wales, Queensland, Western Australia, South Australia and Tasmania; those employed by local government in New South Wales, Queensland and South Australia; those employed by a non-constitutional corporation in Western Australia (including a sole trader, partnership or Trust); contractors; employees who resign and were not forced to do so by the conduct of their employer; those employed under a contract for a specified period of time, a specified task, or the duration of a specified season who are dismissed at the end of the period, task or season; trainees whose employment was for a specified period of time and who are dismissed at the end of the training arrangement, and employees who have been demoted but have had no significant reduction in their remuneration or duties and who remain employed by the employer who demoted them.
- 17 A small business is a business that employs fewer than 15 employees.
- 18 Fair Work Act 2009 (Cth), Div 2, s 382.
- 19 NSW Industrial Relations Act 1996 (NSW); Industrial Relations Act 1999 (QLD); Industrial Relations Act 1984 (Tas); Fair Work Act 1994 (SA); Industrial Relations Act 1979 (WA).
- 20 Child Protection (Prohibited Employment) Act 1998 (NSW); Commission for Children and Young People Act 1998 (NSW); Children's Protection Act 1993 (SA). In SA, the requirement to conduct criminal history assessments for people working with children will be phased-in over three years from 1 January 2011 to 31 December 2013.

- 21 *Commission for Children and Young People and Child Guardian Act 2000* (Qld); *Working With Children (Criminal Record Checking) Act 2004* (WA); *Working With Children Act 2005* (VIC); *Care and Protection of Children Act 2011* (NT).
- 22 See Australian Institute of Family Studies, Pre-employment screening: Working With Children Checks and Police Checks, NCPC Resource Sheet, February 2011. At [www.aifs.gov.au/nch/pubs/sheets/rs13/rs13.html](http://www.aifs.gov.au/nch/pubs/sheets/rs13/rs13.html) (viewed 19 December 2011).
- 23 See for example *X v The Commonwealth* [1999] HCA 63 (2 December 1999) (X's Case), *Qantas Airways v Christie* (1998) 193 CLR 280 (Christie's Case) or Hall's Case p 32, 34.
- 24 Christie's Case, Gaudron J.
- 25 Hall's Case p 36, S Selleck, 'Criminal Records Discrimination – When the Law Speaks with a Forked Tongue', paper presented to CSEPP consultants, 26 May 2004, p 10 (S Selleck); *Zraika v Commissioner of Police, NSW Police* (2004) NSW ADT 67.
- 26 This case illustrates inherent requirements principles, although it did not involve criminal record discrimination.
- 27 *Zraika v Commissioner of Police, NSW Police* (2004) NSW ADT 67, at 40.
- 28 X's Case at 208, Also Christie's Case, Hall's Case p 33, S Selleck p 10.
- 29 Hall's Case p35–36; S Selleck p13; *Commonwealth v Bradley* (1999) 95 FCR at 237 per Black CJ. See also *Wall v NT Police Services, Anti-Discrimination Commission*, 14 March 2005 (Wall's Case). In this case the Anti-Discrimination Commissioner found that the NT Police had not demonstrated a 'tight correlation' between the purported inherent integrity requirement of the police service and the complainant's spent criminal record, 5.3.5.
- 30 Christensen's Case, pp 20–21.
- 31 See also Hall's Case p34–5, S Selleck p 10, Wall's Case, p 18.
- 32 *Commonwealth v Bradley* (1999) 95 FCR 218 at 235 per Black CJ. See also *Commonwealth v Human Rights and Equal Opportunity Commission and Ors* (1998) 158 ALR 468 at 482, per Wilcox J.
- 33 X's Case. Although it illustrates inherent requirements principles, this case did not involve criminal record discrimination.
- 34 X's Case, Gleeson C J at 43.
- 35 See also Ottaviano's Case, HREOC Report No.38. In this case, the Commission agreed that a high level of integrity, good character and reputation were inherent requirements of the position of Police Security Services Security Guard. However, the employer failed to demonstrate a sufficiently tight connection between the complainant's criminal record and his inability to comply with this requirement.
- 36 *A Solicitor v The Council of the Law Society of New South Wales* [2004] HCA 1 (4 February 2004).
- 37 *A Solicitor v The Council of the Law Society of New South Wales* (2004) HCA 1 (4 February 2004) at 32.
- 38 For example, see *Z v Director General, Department of Transport* [2002] NSW ADT 67 at 30–32.
- 39 International Labour Organisation, *Fundamental rights at work and international labour standards*, Geneva, International Labour Office, 2003. See also Hall's Case.
- 40 *Hosking v Fraser Central Recruiting* (1996) EOC 92–859.
- 41 *Anti-Discrimination Act 1992* (NT), s26.
- 42 *Andrew Gordon Stock v Narrabri Nominees Pty Ltd trading as Tyre Mart Bunbury*, Western Australian Industrial Relations Commission (16 August 1990). See also S Selleck citing *Bell v Lever Brothers Ltd* [1932] AC 161; *Concut Pty Ltd v Worrell* (2000) 176 ALR 693; *Gordon & Gotch (Australasia) Ltd v Cox* (1923) 31 CLR 370; *Hands v Simpson Fawcett & Co Ltd* (1928) 44 TLR 295.
- 43 S Selleck, p 4.
- 44 *Stock v Narrabri Nominees*, Western Australian Industrial Relations Commission, No.1122 of 1990, citing *Cambourn v A.E. Leer and B.A. Leer* (1979) AR (NSW) 523.
- 45 A company employing security officers would usually be exempt from spent convictions schemes.
- 46 See, for example, *The Federated Miscellaneous Workers Union of Australia and Michell Leather* [1992] AIRC Print K 1855 (Unreported, Commissioner Simmonds, 17 February 1992) 5; *Richard Michael Parody and Australian Correctional Management Pty Ltd* [2003] AIRC PR928052, (Unreported, Deputy President McCarthy, 21 February 2003), S. Selleck, p 19, *FEDFEA v Shell Refining Co* (1989) 31 AILR 430.
- 47 Nursing and Midwifery Board of Australia, Criminal History Registration Standard, effective from 1 July 2010. At [www.nursingmidwiferyboard.gov.au/Registration-Standards.aspx](http://www.nursingmidwiferyboard.gov.au/Registration-Standards.aspx) (viewed 9 January 2012).
- 48 See *Hosking v Fraser*, NT Anti-Discrimination Commission. See Section 5.1 of Guidelines.
- 49 *Monie v Commonwealth of Australia* (2003) NSWSC 1141.
- 50 *Monie v Commonwealth of Australia* [2003] NSWCA 230.

- Further Information

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