

DISCLOSURE & BARRING SERVICE (DBS) POLICY – STAFF AND VOLUNTEERS INCLUDING TRUSTEES

Version: 18th October 2023

Disclosure & Barring Service (DBS) policy – staff and volunteers including Trustees	
Author	Ann Donkin, Chief Executive (Interim)
Division	Senior Management Team
For use by	Staff and Volunteers including Trustees
Purpose	To set out the arrangements for <i>DBS</i> checks on staff, volunteers and Trustees seeking to work in the Charity
Key related documents	Other policies relating to safeguarding & recruitment
Version	12 th October 2023
Approval date	SMT 18 th October 2023
Review date	Q3 2024 / 25

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DOCUMENT CONTROL			
DATE	EDITS	EDITOR / REVIEWER	CHANGE CONTROLLER / DOCUMENT OWNER
18 th September 2023	First draft for SMT discussion following review of policy adopted in June 2020.	Ann Donkin, Chief Executive (Interim)	Ann Donkin, Chief Executive (Interim)
19 th September 2023	<i>Charity Commission Annual Return</i> guidance included under introduction.	Ann Donkin, Chief Executive (Interim)	Ann Donkin, Chief Executive (Interim)
20 th September 2023	Minor amendments to section 5 and inclusion of <i>DBS Update Service</i> in section 6.	Ann Donkin, Chief Executive (Interim)	Ann Donkin, Chief Executive (Interim)
26 th September 2023	Removed reference in section 6 to portability of certificates from previous employers as no longer relevant.	Ann Donkin, Chief Executive (Interim)	Ann Donkin, Chief Executive (Interim)
29 th September 2023	Amendments to section 3 on disclosure and section 5 start date without <i>DBS</i> check.	Ann Donkin, Chief Executive (Interim)	Ann Donkin, Chief Executive (Interim)
3 rd October 2023	Section 5 amendments to include consistency of name identity on documents.	Ann Donkin, Chief Executive (Interim)	Ann Donkin, Chief Executive (Interim)
12 th October 2023	Section 3.1. and 3.2 amended to require disclosure of unspent convictions only.	Ann Donkin, Chief Executive (Interim)	Ann Donkin, Chief Executive (Interim)

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1 Introduction

- 1.1 All employers can check the criminal record of someone applying for a role. This is known as getting a *Disclosure and Barring Service (DBS)* check. Further information can be found via the link below on Government policy and regulations for *DBS* checks:

[Disclosure and Barring Service - GOV.UK \(www.gov.uk\)](http://www.gov.uk)

- 1.2 The *Charity Commission*, in its requirements for the Charity's *Annual Return* submission, for financial years ending on or after 1st January 2023, explicitly asks under section 9. *Safeguarding and risk, point 9.1 Safeguarding*:

'Has your charity provided services to children and / or adults at risk in the financial period of the return?'

- 1.3 The *Charity Commission* also asks, in the same section:

Excluding Basic DBS Checks, has your charity obtained the required level of DBS Checks for all roles which are eligible for them in the financial period of this return?

(Tick all that apply)

- a. yes, all required Standard DBS checks have been obtained*
- b. yes, all required Enhanced DBS checks have been obtained*
- c. yes, all required Enhanced with Barred List(s) DBS checks have been obtained*
- d. DBS checks are not required other than Basic DBS checks.*

Charities are asked to use the *DBS Eligibility tool* if necessary to check if a *DBS* is required and at what level.

- 1.4 Age UK Norfolk (AUKN) has a duty of care to safeguard vulnerable people who use AUKN's services. The organisation is committed to best practice in the recruitment of staff and volunteers, including Trustees.
- 1.5 AUKN complies fully with the *DBS Code of Practice* and is committed to treating all applicants for staff and volunteer positions fairly. It undertakes not to discriminate unfairly against any subject of a criminal offence disclosure on the basis of conviction or other information revealed.

2 Scope of policy

- 2.1 All staff, Trustees, volunteers, contractors and students on placement who work for

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AUKN will undergo a DBS check.

2.2 The types of check are:

- a **basic** check, which shows unspent convictions and conditional cautions
- a **standard** check, which shows spent and unspent convictions and cautions
- an **enhanced** check, which shows the same as a standard check plus any information held by local police that is considered relevant to the role
- an **enhanced check with barred lists**, which shows the same as an enhanced check plus whether the applicant is on the list of people barred from doing the role.

2.3 AUKN will determine the relevant level of check in accordance with statutory guidance. All staff and volunteers including Trustees will be checked at the appropriate level.

3 Recruitment procedures

3.1 The application forms for roles within AUKN will ask for disclosure of **unspent** convictions in accordance with the [Rehabilitation of Offenders Act 1974](#).

3.2 Applicants may disclose **spent** convictions of their own volition.

3.3 Advertisements and job details must state that *DBS* disclosure will be sought.

3.4 The Charity's policy on the recruitment of ex-offenders will be made available to applicants upon request.

4 Changes to personal circumstances

4.1 Staff and volunteers including Trustees must advise their Line Manager, or the Chairman in the case of Trustees, of any material changes in their circumstances whilst in an AUKN role e.g. a conviction made after commencing work (paid or voluntary). If an individual is in any doubt as to what is "material" they should discuss the matter with their Line Manager / the Chairman or other senior member of staff.

4.2 If the nature of such a disclosure is such that it causes concern that a staff member or volunteer should not continue their role, they will be subject to disciplinary procedure, and this may lead to dismissal. This will also apply to those convictions / cautions that show up on rechecking (see point 9 below).

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5 Checking process

- 5.1 AUKN currently uses the *Disclosure & Barring Service (DBS)* to process applicants' applications to determine suitability for positions of trust via a third-party provider. The provider is currently *First Advantage (FADV)* under the brand *Know Your People*.
- 5.2 An on-line form is completed by the applicant and then reviewed by either by the Charity, or the appropriate *Post Office*, who carries out a check of essential documents (see below).
- 5.3 Completion of the application form requires evidence that personal identity has been verified, including the applicant's current address and date of birth, using a range of specified sources of evidence of identity. The number and type of sources, and which must be ORIGINAL documents (not copies), include:
- i. birth certificate
 - ii. driver's license
 - iii. utility bill.

All documents must consistently show the same name / surname. Where they do not, evidence must be provided of formal legal changes, e.g. change of surname upon marriage must be evidenced by additionally providing an original marriage certificate as proof of name change.

The Government website includes guidelines about the documents required: [ID checking guidelines for standard/enhanced DBS check applications from 1 July 2021 - GOV.UK \(www.gov.uk\)](https://www.gov.uk/guidance/checking-guidelines-for-standard/enhanced-dbs-check-applications-from-1-july-2021)

- 5.4 Applicants, whether staff or volunteers, including Trustees, are normally not permitted to undertake the full duties of their role in advance of the result of the application being evidenced to the Charity. Where a *DBS* check result is delayed for certain roles such as those that are client-facing, the new appointee will be placed on restricted duties e.g. no lone visiting

6 DBS Update Service

- 6.1 *The Disclosure & Barring Service (DBS) Update Service* allows:
- applicants to keep their *DBS* certificates up to date
 - employers to check a *DBS* certificate.

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The service is for *standard* and *enhanced* DBS checks only. Individuals would need to have [registered for the Update Service](#). There is a modest cost per year which is reclaimable by staff via expenses, and there is no charge for volunteers.

7 Storage, Handling, use retention & disposal of information

- 7.1 This is covered in the policy on data retention. Disclosure information will be kept CONFIDENTIAL to those who need to know. It is unlawful for the information to be available other than to those within the organisation who need to see it in connection with the recruitment process.

8 Deductions from Salary

- 8.1 For any employee who is required to undergo a *Disclosure & Barring Service DBS* check at a cost to the Charity, as a condition of their role, this may be deducted from their final salary or other sums due, if employment is terminated within 3 months of the check being carried out

9 Rechecking

- 9.1 The organisation will require employees and volunteers including Trustees to be rechecked every three years.