



Disclosure &  
Barring Service

# Corporate Plan

2013 / 2014



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## Chair and Chief Executive's Foreword

It is our privilege to set out the Disclosure and Barring Service (DBS) Corporate Plan for 2013-14. This sets out our environment and priorities for our first full year of operation.

We launched on 1 December 2012 with a challenging agenda, and we've added to it by responding to legal judgments that will affect how we will need to work. We commit to delivering a timely and high quality service relating to disclosure certificates, barring decisions, and our (new) Update Service.

Our priority will always be to support the protection of children and vulnerable people by providing a high quality service to our users.

As a newly formed organisation, we want to benefit from the opportunities created by merging two well respected legacy organisations. We have passionate and hard working staff who appreciate that their performance helps keep vulnerable people safe – and we want to continue to nurture this talent and commitment.

Our performance is heavily influenced by the work of the disclosure staff in our police forces across the UK, and our commercial partners who are responsible for the supply of our business process outsourcing and ICT solution. We must continue to work closely together, to a common plan and standards, to ensure timely decisions for our customers.

We are driving a significant change to our core business and systems, which is particularly challenging during a merger and re-structuring exercise. Our corporate leadership needs to be strong if we are to drive the maximum possible benefit from a new system in 2014-15. This will offer transformational capabilities that will enable us to shift our services into a digital era, be more responsive to demand, and keep costs low.

Alongside this we will be investing heavily in a modern ICT platform, and managing a transition from Logica and Capita to Tata Consultancy Services (TCS), as our commercial partner. We are ambitious in this regard, and are one of the Government's Digital Pathfinders – we intend to become a beacon for modern capabilities in high profile operational areas.

Internally, we will continue to develop as a single organisation; undergo re-structuring of relevant areas; invest in core skills, staff engagement and leadership development; and embed our Board and executive governance processes.

Externally, we look forward to deepening the long-standing partnerships built by our legacy bodies, and to developing new relationships. We want to modernise the way we communicate with our stakeholders and with individuals, and to improve the way we gather and use feedback.

It is an exciting time, and we hope that as we lay our foundations, the DBS becomes a provider that is trusted by all.

On behalf of the DBS team, our police colleagues, and our commercial partners, we look forward to providing an excellent service to the public in 2013-14.



*Bill Griffiths*

**Bill Griffiths**  
DBS Chair



*Adrienne Kelbie*

**Adrienne Kelbie**  
DBS Chief Executive

## Executive Summary

2013-14 will be the first full operating year for the DBS, having launched on 1 December 2012. As a newly merged organisation facing change to our core business and systems, we look ahead to a very challenging year.

During this period we will focus on:

- Maintaining business continuity and meeting our published service standards;
- Introducing new filtering of cautions and convictions from disclosure certificates;
- Introducing the Update Service and a single certificate, and so dealing directly with individuals as well as our Registered and Umbrella Bodies network;
- Introducing an interim Barred List check, allowing employers to ask whether an Update Service status update relates to inclusion on a barred list;
- Developing a Basic criminal record check service;
- Moving to a new commercial supplier and exit from our current commercial arrangements;
- Enhancing our transparency by improving our communications, influencing focus and opening up new means of communicating with partners and customers;
- Responding to legislative changes as necessary;
- Designing and developing a modern IT solution to move our operations into a digital era and enhance service provision and efficiency;
- Considering the introduction of new services, and developing our strategic plan, for 2014-17.

Internally, we will develop the organisation through:

- Continuing to develop a common vision, policies and practices and through embracing our new principles;
- Developing strong core competencies, strengthening leadership, and staff engagement;
- Identifying how to reduce our corporate overheads, including introducing a new Corporate Services structure.



# Our Purpose

## Our Mission

We aim to be an efficient and trusted supplier of information services to support safe employment decisions.

## What We Do

We provide information to employers and other organisations in England and Wales (and barring information only in Northern Ireland) so they can make informed recruitment and licensing decisions, especially for employees and volunteers working with vulnerable groups. We also determine whether an individual can take up relevant posts by making decisions about inclusion on a barred list.

Broadly, we help prevent unsuitable people from working with children and vulnerable groups by:

- Maintaining two lists of people barred from engaging in regulated activity with children (the children's barred list) and adults (the adults' barred list);
- Reaching decisions as to whether persons should be included in one or both barred lists or whether to remove persons from a barred list;
- Issuing two levels of criminal record certificates (known as 'disclosures'): Standard and Enhanced;
- Maintaining a register of organisations permitted to submit applications for certificates;
- Sharing our learning with policy makers and practitioners.

We do this by undertaking the functions contained within Part V of the Police Act 1997, functions contained within the Safeguarding Vulnerable Groups Act 2006 and the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007, and Protection of Freedoms Act 2012.

This year, we expect to process over four million disclosure applications, serve thousands of employers and voluntary bodies, and consider around thirty thousand barring referrals (discretionary and automatic barring referrals). We want to do so in ways which meet customer needs, and enables our service to be consistently reliable, of high quality and cost effective. We will work towards achievement of ISO 9001 for our barring process whilst maintaining it for our disclosure process, and improve wherever we can.

We will continue to identify new and innovative ways of liaising with our customers, and will tailor and adapt our communication methods to reflect their varying needs.

One of the major developments this year will be the introduction of the Update Service. The Update Service will allow an individual to keep their disclosure certificate up to date. This will mean that the DBS will regularly check the data sources relevant to the certificate, allowing an employer or a number of employers, with the individual's permission, to check using an online system to establish whether any new information had been recorded since the date of issue of a certificate presented by an individual. This is an annual subscription service with the individual in control of who accesses the Update Service to check for updates.

## How We Operate

The DBS was launched on 1 December 2012, assuming the functions of our legacy bodies, the Independent Safeguarding Authority (ISA) and the Criminal Records Bureau (CRB) by way of a Transfer Order. We are a Non-Departmental Public Body (NDPB) sponsored by the Home Office.

The DBS was established under the Protection of Freedoms Act 2012. We are led by a Board, comprising a Chair and Executive and Non-Executive Board members, responsible for the strategic leadership of the DBS.

The operation of the DBS is led by the Chief Executive who also acts as Accounting Officer. We operate from two sites, where our Darlington site delivers barring functions, and our Liverpool base delivers disclosure functions.

A significant element of our work is undertaken across the UK law enforcement network. We can only deliver our service if we have timely co-operation from the police disclosure units. We welcome our constructive working relationship with partners in individual law enforcement agencies and the Association of Chief Police Officers (ACPO).

We also rely upon our commercial business process providers to deliver our IT solution, customer service centre and application despatch and receipt functions.

Disclosure and barring decisions will continue to attract public attention and scrutiny. We operate in a complex and continually changing legislative framework, particularly relating to policy which potentially affects individuals and their human rights. There may be challenges to the decisions we make or challenges against the Home Office in relation to the legal framework.

We must proactively review our processes, policies and operating systems to ensure that they are proportionate and reasonable, and are adapted in accordance with new case law.



## How We Operate

### Our Board

The Board is responsible for strategic leadership of the organisation and has collective responsibility for the proper conduct of DBS affairs. This role can be summarised as: direction, monitoring and control, assurance and propriety. The Board is led by a Chair and comprises seven Non-Executive members and four Executive members. The Board members are:

Non-Executive Members	Executive Members
Bill Griffiths Chair)	Adrienne Kelbie Chief Executive
Richard Black	Adele Downey Executive Director for Corporate Services
David Clarke	Sue Quigley Executive Director for Operations (Disclosure)
Tom Davies	Janet Gauld Executive Director for Operations (Barring)
Donald Findlater	
Bernard Herdan	
Mehmuda Mian	

During the next 12 months the Board will put top priority on maintaining today's safeguarding services while developing incremental improvements and new services and developing a more efficient and modern IT solution for the longer term.

The Board works through four committees, each chaired by a Non-Executive Board member:

Committees	
Audit and Risk	Quality and Standards
Finance and Performance	Remuneration and Nominations

These are complemented by a CEO-led Change Forum which is accountable for delivering our overall Change Programme. The Forum is also attended by Non-Executive Bernard Herdan, as well as a representative from Home Office Sponsorship Unit, and representatives from key suppliers.

## Our Relationship with Government

The DBS operates in a complex policy environment, with elements of policy responsibility held by a range of government departments. We deliver policy responsibilities for the Home Office (public protection), the Department for Education (DfE) (safeguarding children) and the Department of Health (DH) (safeguarding children and adults in health and social care settings).

Our work contributes to the delivery of the objectives of the Home Office, DfE and DH.

These objectives are:

### Home Office

#### PROTECT PEOPLE'S FREEDOMS AND CIVIL LIBERTIES

##### Implementation of Protection of Freedoms Act 2012

*Create a universally portable criminal records check, through a new instant online check.*

### Department for Education

#### Improve Arrangements for Protecting Children from Harm

*Publish radically reduced statutory guidance on safeguarding and promoting the welfare of children to clarify statutory responsibilities, remove prescriptive practice guidance and allow professionals to exercise their judgement.*

### Department of Health

#### Better Care for All

*We will work to improve the quality of care for all people using services, including reforming social care, working with the NHS to strengthen people's ability to make meaningful choices about their care and treating people with dignity and respect.*

## Our Relationship with Government

We deliver these policy responsibilities by undertaking the functions contained within Part V of the Police Act 1997, functions contained within the Safeguarding Vulnerable Groups Act 2006 and the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007.

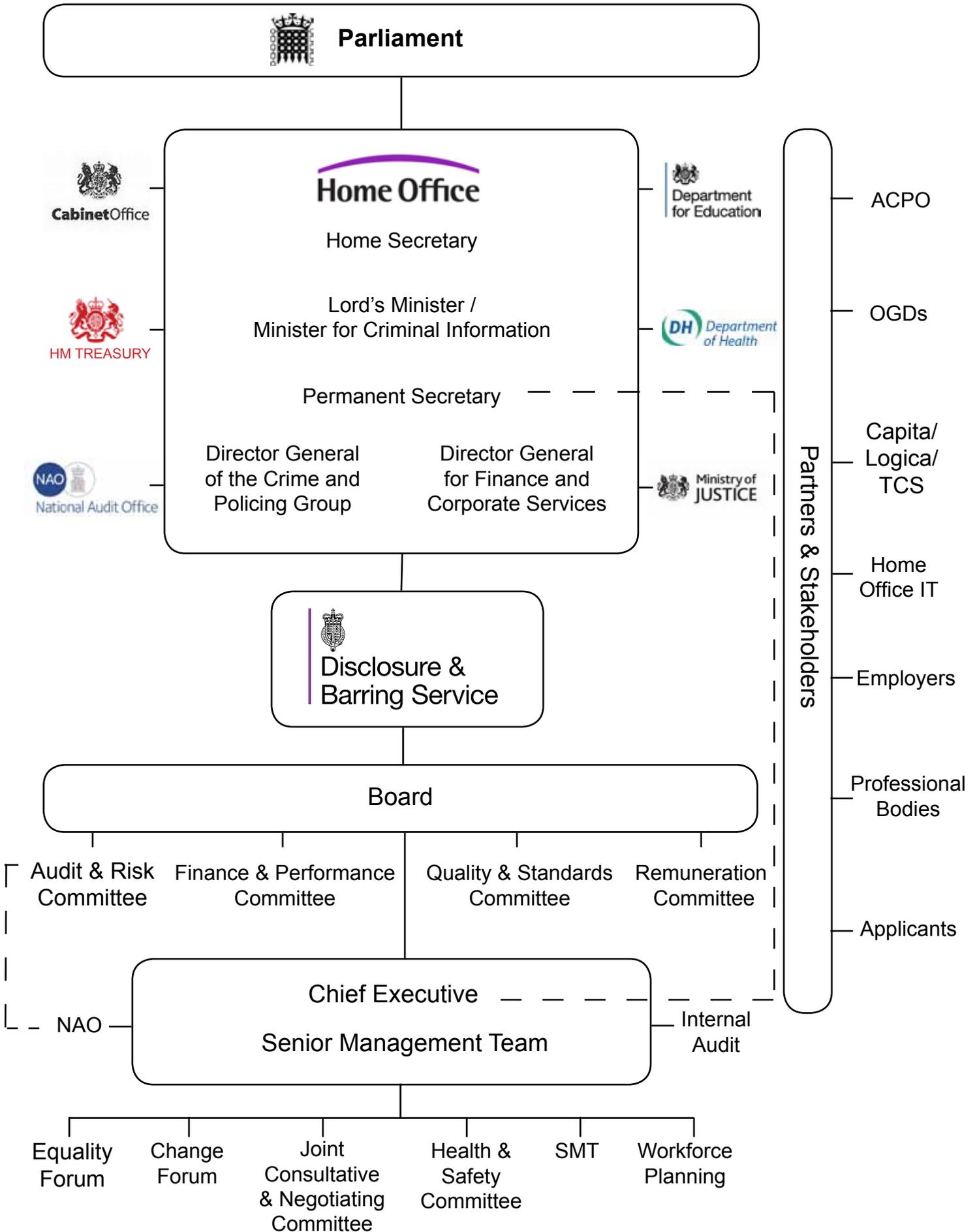
We are sponsored by the Home Office Safeguarding and Public Protection Unit (SPPU) and as an NDPB, we are responsible for implementing government policy. Our relationship with SPPU is defined in our Framework Document, which sets out an expectation that DfE and DH should inform DBS of, and involve DBS in, relevant changes to government policy. We work closely with all three departments to support policy convergences so as to enable DBS to deliver it through services for the public.

The Minister for Criminal Information will account for DBS business in Parliament. This Home Office Minister has power of direction over the DBS and discharges this via an annual letter of direction, or more urgently should circumstances dictate the need for substantial in-year changes in policies or our operating environment.

We work with other government departments as and when we can be helpful: the diagram overleaf shows how DBS is placed within government.



# Our Relationship with Government



## Our Strategic Framework and Corporate Priorities

Having engaged with the DBS Board and officers, Ministers have set out their clear direction of travel for the DBS. These deliverables create a blueprint comprising of five Building Blocks for long term success.

The Building Blocks reflect our strategic deliverables (not an exhaustive list of our developments) which are required alongside day-to-day service delivery. Any change requires approval by Home Office.

### 2013-14 Building Blocks

Implement Filtering Solution	Launch Update Service	Transition to New Contracts	New System	Organisational Design
<b>April 2013</b>	<b>June 2013</b>	<b>October 2013</b>	<b>Spring 2014</b>	<b>Phase 1&amp;2 - March 2014</b>
Implement an interim solution to filter cautions and convictions from a DBS certificate.	Develop and introduce the Update Service, Single certificate, and interim stand-alone Barred List Check.  Develop and introduce a process to transfer information gathered for consideration in barring decision making.	Prepare and transition to new commercial supplier/s and exit current supplier.  This is known as Release 0 (R0).	Develop a new applicant-centric disclosure and barring operating system.  This is referred to as Release 1 (R1) and will include functionality for online ID checking, a stand-alone Barred List Check, and Basic certificate delivery.  This will also be hosted on a new cloud platform, and be available through the Home Office POISE desktop.	Launch new mission, principles and priorities.  Introduce new (single) organisational policies.  Re-design corporate service functions and structure.

# Our Strategic Framework and Corporate Priorities

## 2013-14 Corporate Objectives

Corporate Objectives	
Deliver public service standards.	Adopt single customer service approach (Customer Service Excellence).
Deliver Change Programme.	Energise staff engagement.
Develop management and technical capabilities.	Develop a corporate transparency approach.
Consolidate external stakeholder engagement.	Reduce corporate overhead.

## Our Principles

Our Principles set high level parameters of how the DBS will operate, and what can be expected in terms of operation of the service. The Principles will underpin all that we do and how we develop the service.

### Service Excellence

We will design and deliver our products to meet the needs of our users, and consistently deliver a timely, high quality and value-for-money service.

### Digital by Default

We will use digital channels for our work wherever possible.

### Valuing Partnership

We will take into account the feedback and needs of our stakeholders, as we develop and deliver our services.

### Cost Effective

We will deliver value-for-money services.

### Trusted and Secure

We will maintain high levels of integrity, transparency and confidence in the service that we provide.

## Financial Outlook

The DBS is a self-funding NDPB, dependent on income from applications for disclosure certificates to fund the whole business. Volunteers do not pay for these checks. No income is derived from barring referrals.

We are expected to make neither a surplus nor a loss, so intelligence on business volumes is a critical element of our business planning, and we must ensure full cost-recovery.

We want to keep costs low in order to provide good value-for-money to ensure a low cost for our fee-paying customers.

The next year will be a challenging one for the DBS in terms of financial outlook. The introduction of the Update Service will change the construction of our fee income, with the gradual receipts of certificate fees being replaced with receipts of annual subscription fees for the Update Service. Customer behaviour in terms of uptake of the Update Service will impact directly on the fee structure and will need to be fully assessed to make an appropriate evaluation of future fee structures.

Accountability of financial management to the Board will be through the Chief Executive. The Finance and Performance and the Audit and Risk committees have powers of scrutiny. The DBS will also work closely with the National Audit Office (NAO) to allow them full and effective scrutiny of all aspects of financial management and control, which may also be through regular audits, further supported by an internal audit programme.

In accordance with its statutory requirements under the Protection of Freedoms Act, the DBS will for each financial year produce an Annual Report and Accounts.

Our forecast for disclosure volumes for 1 April 2013 to 31 March 2014 are 4.07 million, of which approximately 3.1 million are expected to be from paying customers. The DBS Board has approved the budget for 2013-14 with no fee increase, whilst noting significant uncertainty relating to volunteer and paid for disclosure volumes, and the final cost of transition from Capita to TCS and implementation of a modern IT system.



## Financial Outlook

### Budget for 2013-14

Resource Budget	£mil
Pay	(26.48)
Police	(28.83)
IT	(16.60)
Direct costs	(59.81)
Fees	(3.63)
Other	(4.69)
Depreciation	(0.72)
Total	(140.766)
Income	147.92
Income Sensitivity	(6.31)
RDEL Budget which is a surplus	0.85
Depreciation of Assets	(12.39)
Cost of Capital	(0.85)
Deficit (in accounting terms)	(12.39)



## Risks to Delivery of the Plan

Our key risks relate to:

1. Inaccurate forecasting of disclosure applications and Update Service take-up (because that generates our income and needs us to gear up our own operations and those of the police and our commercial partner).
2. Failure of internal capacity and capability to deliver (there is a lot going on, and we may not have all of the skills we need where and when we need them).
3. Changes to our building blocks (that affect our ability to deliver as planned).
4. Failure of, or delay, to supplier transition (because we will be unable to deliver services).
5. Failure of, or delay to, new ICT system (which would impact on our costs, service delivery and ability to deliver as planned).
6. Legal challenge which affects what we do (because this will affect our plan and potential financial viability or workload).
7. Uncertainties of financial position linked with amount of change and inconsistent disclosure volumes.

## Performance Measurement

In agreement with the Home Office, we have amended our performance measurement standards to reflect the targets which we believe our users will find useful in holding us to account. These require us to maintain performance during a time of significant change. These are in Annex One.

We expect to improve our performance when we have introduced new technology in 2014-15.



## Supporting Our Staff

Our staff are vital to the organisation and we depend on their energy, commitment and enthusiasm. Managing uncertainty and change will bring challenges, and our engagement and communication needs to reflect this.

Our development priorities will focus on business need, and include:

- Enhancing leadership capabilities;
- Improving performance management and feedback skills;
- Preparing managers to engage in and lead significant change;
- Creating much closer and immediate training support where lessons can be widely shared from team reviews;
- Addressing succession planning gaps;
- Strengthening the capability of our project and programme managers;
- Responding to legislative and mandatory learning initiatives such as Diversity Awareness and Information Assurance Awareness;
- Ensuring understanding of new corporate policies and practices.

We will continue our support for wellbeing and absence reduction.

## Equality and Diversity

The DBS will ensure that all equality duties are met, that we actively promote and encourage equality, and that we reduce discrimination within the organisation and throughout wider society by providing our services in line with equalities legislation.

This work will be championed by our Equality Forum, chaired by an Executive member of the Board. It will regularly monitor compliance with statutory obligations and consider opportunities arising from wider good practice.



## Corporate Governance

### Accountability

Our clear governance structure is a pre-requisite to ensure that we undertake our statutory functions effectively and appropriately. The Board is responsible for the strategic leadership of the organisation and comprises the Chair and appointed members.

As an NDPB the DBS has accountability to Parliament and Ministers, facilitated through the sponsorship by the Home Office. This is led through the responsibilities of the CEO as the DBS Accounting Officer, supported by the role of Senior Information Risk Officer (SIRO), whose duties are set out in the DBS Framework Document.

In particular, the CEO is personally responsible for safeguarding the public funds for which she has charge; for ensuring propriety and regularity in the handling of those public funds; and for the day-to-day operations and management of the DBS. In addition, the CEO ensures that the DBS adheres to the standards, in terms of governance, decision-making and financial management set out in HM Treasury's 'Managing Public Money' guidance.

### Reporting Our Progress

The Board will review updates against the plan at regular Board meetings. Updates will be recorded in minutes of Board meetings.

### Your Feedback

We welcome your comment on this plan, and on any part of our operation. Please get in touch with us at [customerservices@dbs.gsi.gov.uk](mailto:customerservices@dbs.gsi.gov.uk)

Further documents relating to the DBS can be found at: [www.gov.uk/dbs](http://www.gov.uk/dbs)



## Annex One Published Service Standards for 2013-14

	Description	Target
1	% of all certificates issued in 60 calendar days from receipt.	99%
2	% of all certificates issued in 28 calendar days from receipt.	90%
3	% of all certificates issued in 14 calendar days from receipt.	75%
4	Certificate accuracy.	99.98%
5	Barring - process cases accurately.	99.96%
6	% of discretionary cases closed within 110 working days.	80%
7	% of discretionary cases closed within 55 working days.	60%
8	% of autobar without representation cases barred and concluded within 55 working days.	80%
9	% of autobar with representation cases concluded within 120 working days.	60%
10	% correspondence and Stage 1 complaints responded to within 10 working days.	95%

## Annex Two Business Integrity

### Risk Management and Continuity Planning

The DBS has a robust Risk Management Framework. Our major corporate risks, owned by members of the Senior Management Team (SMT) are regularly reviewed and refined by the collective SMT and Board. Reports on Risk Management, Information Assurance, Fraud and Business Continuity Planning are regularly considered by the Audit and Risk committee. Lower level risks are identified at functional level and are recorded, reviewed and updated at monthly management meetings. These arrangements are compliant with Level 4 of the Home Office's Risk Management Maturity Model. We are embedding our DBS approach.

During 2013-14, we will develop our continuity planning to underpin the new system that will be delivered by TCS.

### Information Security and Management

Our business centres on using and managing sensitive information. Therefore our approach to information security is of prime importance.

To fulfil our objectives and protect our reputation, we must use, manage and protect data correctly, and make it appropriately available to stakeholders and the public.

We have full regard to appropriate government standards and guidance, and in particular the Cabinet Office Information Assurance Maturity Model. We adhere to the Principles of Data Protection, set out in the Data Protection Act 1998 (DPA) which has particular regard to DPA Principles of Information Management. These require the management of information as a corporate asset, improving the quality and value of our information, thus preventing unauthorised disclosure and destruction. All corporate information is treated as a shared business resource, with access limited only when necessary.

Information management is directed and overseen by our Senior Information Risk Owner (SIRO) who is a member of the SMT and Board. She is responsible for ensuring that information risks are managed appropriately, and for making public data open and re-usable where possible. The SIRO, acting on behalf of the chief executive, is accountable to the Home Office SIRO and is required to submit an annual report providing an assessment of information risks in the DBS.

### Transparency

The DBS is committed to releasing information, enabling members of the public to hold public bodies to account and to make assessments on performance. The DBS Board will actively release Board agenda, minutes and Board papers, where appropriate. Details of Board and SMT expenses claimed will be published quarterly, as will details of senior pay and all items of expenditure over £25,000.

The DBS will undertake regular reviews to identify what corporate information would assist customers and which can be periodically published. DBS data is made available, free of charge, on the DBS website. The DBS also fully adheres to its obligations under the Freedom of Information Act (2000).

## Glossary

ACPO	Association of Chief Police Officers
CEO	Chief Executive Officer
CRB	Criminal Records Bureau
DBS	Disclosure & Barring Service
DFE	Department for Education
DH	Department of Health
DPA	Data Protection Act
HOIT	Home Office Information Technology
ICT	Information and Communications Technology
ISA	Independent Safeguarding Authority
NAO	National Audit Office
NDPB	Non-Departmental Public Body
OGD	Other Government Body
POISE	Home Office Administration IT system
PSS	Published Service Standard
RDEL	Resource Departmental Expenditure Limit
SIRO	Senior Information Risk Owner
SMT	Senior Management Team
SPPU	Safeguarding and Public Protection Unit
TCS	Tata Consultancy Services
VBS	Vetting and Barring Scheme



# Disclosure & Barring Service

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