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dbscymru

Disclosure and Barring Services Umbrella Body

DBS Application and ID Checking Guidance

Secure

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DBS Cymru DBS Umbrella Body Number 30023800006
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DBS Application and ID Checking Guidance

This guidance will lead you through the process of checking a DBS (Disclosure & Barring Service) Application completed by your worker. By helping your worker to fill in the form accurately and completely, you will ensure that delays in the process are minimised and that the DBS Check is more likely to come back quickly.

For more detailed information and guidance about the completion of a DBS Application, please refer to the DBS web-site – *www.gov.uk/dbs*

If there is any stage of the process you are not sure about, or if there is any part of this guidance that is not clear, please contact us straight away. **Please don't assume – if the applicant gets it wrong, it could result in delays in the process.**

We have also included guidance on completing the Statement of Valid Identity Check. This information not only assures us that you, as the ***'responsible person known as the ID Evidence Checker'*** have thoroughly and appropriately checked the applicant's evidence documents to confirm their identity, but it also confirms to us the status of the DBS Check requested. By describing briefly the nature of the applicant's role rather than the job title, we will be able to determine that he DBS Check requested is appropriate for the work carried out. If we are in any doubt about the appropriateness of the DBS Check requested, we will contact you.

Checking a DBS Application

As the employer, you will want to see that your workers complete the DBS Application Forms correctly so that delays in the process are minimised. The following draws particular attention to those areas that seem to cause the most problems. If you still have any difficulties, please contact us straight away. All DBS application forms contain a number in the top right corner immediately under the DBS logo. This number should have the pre-fix '**F01……**'

FIRSTLY……

- ***PLEASE*** get the applicant to READ the instructions on the front page of the form BEFORE they start on the form. It saves a lot of time and, if they find it complicated, please help them.
    - Make sure the applicant uses **BLACK INK THROUGHOUT,** and writes clearly in **BLOCK CAPITALS**
    - If they make a mistake, they should put a neat line through and write the correct version close to the required section. ***But please, NO correcting fluid***

COMPLETING THE FORM - a check list of what to look out for

In each of the sections, all questions in yellow blocks **MUST** be answered…. but be careful, if the answer to these questions is 'YES' the following questions (not indicated yellow) will also need to be answered

Section (a) applicant's details

Question1 If the titles ***MRS*** or ***MS*** are used, have other Surnames been recorded? (see Q.4).

Question 3 Sometimes, applicants do not record their middle names. If they have them – whether they use them or not - they **must** be entered.

Questions 6 / 9 / 12 Even if the forenames have never changed, DBS will want to know. Ensure that forenames are included again

Questions 7, 10, 13 Dates stated should be ***MONTH*** and ***YEAR (e.g.07/2010)***, not the full date ***(e.g. 26/07/10)***

Question 14 **But the DOB should be in full**

Question 23 **UK driving licence** numbers include the initials of the first and middle names of the holder. If the number has two letters in middle, check that the applicant has included a middle name in Q.3. The licence number must be 16 digits long (minimum) and no than 18 digits long (maximum).

Questions 16/17 Has the applicant remembered to answer these questions?

Questions 28/29 As stated on the form – do not use. Leave blank – **do not put a line through the section**

Questions 30/31 These questions **do** need to answer if the applicant has ever worked in Scotland and has a Scottish Vetting and Barring Number

Section (b) current address

Questions 32 -37 Make sure that this section is completed in full…that is, a full 5-year address history.

Section (c) other address

Questions 38 -48 This must be a ***complete*** address history over a five-year period ***with no gaps***. So, if for example the applicant has been travelling or sleeping on the sofa at a friend's house, DBS still needs the address and the dates. If you need one, you can download a Continuation Sheet the DBS (www.gov.uk/governmentpublications/dbs-continuation-sheet). Or you can just print the address details on a separate sheet. All addresses should include counties and post codes. Dates should include months and years.

Section (d)

Questions 50 – 54 This section does not need to be completed. Leave blank – **do not put a line through the section**

Section (e) declaration by the applicant

Questions 55 – 57 Make sure that the applicant has completed all this section, **and has signed and dated the form**

Now a note to the responsible person who is responsible for checking the applicant's form, Sections W, X and Y are for us to complete. ***Please leave these questions to us.*** However, you must ensure that the **Statement of Valid Identity Check** enclosed with the DBS application form has been completed in full. We will then have enough information to enable us to complete the back page

Section (w) evidence of identity

Please note that you do not need to complete Sections W and X if you have fully completed the Statement of Valid Identity enclosed with the blank form, but if you do it will speed the process.

Questions 58/59 The person checking the applicant's documents will be the person who signs the Statement of Valid Identity Check that you will return to us with the DBS Application Form.

Section (X) apply for a DBS check

Questions 60 to 68 We will complete these with the information on the Statement of Valid Identity Check form. – **DO NOT Complete**

Section (Y) statement by registered person

Section Y is for us to complete. ***Please under no circumstance should you sign in the signature box*** **- Q.72 Declaration by Registered Person …... This refers to us as the counter signatory (DBS Cymru).**

Completing the Statement of Valid Identity Check

It is highly unlikely that we at **MHM Wales** will ever meet the applicant, so you, as the employer, are in a better position to check the identity of your worker. We have assured the DBS that within the umbrella process, we have identified one ***'responsible person known as the ID Evidence Checker'*** within the client organisation who has assumed the responsibility of ensuring that each applicant's identity has been checked.

So that we can be assured that you are satisfied that the person applying for a DBS Disclosure is the person submitting the form, an essential part of the DBS process is the ***Statement of Valid Identity Check*** which we ask you to complete and return to us with the DBS Application. Before checking the applicant's identity, you are advised to read the guidance given at ***www.gov.uk/dbs***

Section 1 Documents seen

Changes were introduced by the DBS in August 2012 so that the identity checking process became strengthened to improve public protection. The changes were part of an on-going improvement programme that will in future enable easier detection of undeclared name changes. The new guidelines introduce **three routes to checking identity**. **Route One** will be that adopted for many of our customers; **Routes Two and Three** will be used only where Route One cannot be used. More detailed guidance is set out below.

The DBS have recently revised the schedule of acceptable documents is attached. The process has been made more prescriptive. ***It will save a lot of time if, where possible, you ask applicants to produce documents permitted for Route One.***

Please remember….

- You must only accept valid, current and original documentation (**no photocopies or documents printed off the internet**)
- Check that identity information (e.g. name, date of birth, address etc.) matches that given in Sections (a) to (c)
- Where possible, see photographic identity (e.g. passport, new style driving licence, etc. and compare this against the applicant's likeness).
- Check one document confirms the applicant's date of birth as stated in Section (a).
- See at least one document to confirm the applicant's current address

The DBS have recently included different verification methods, which include 2 options, these are:

- Option 1: In-person with physical documents.
- Option 2: Video link with physical documents in possession.
- Option 3: Video link without physical documents (must be verified in person before employment).

It is lightly the method of identification undertaken will be Option 1: In-person with physical documents, if this is the case, please remember to tick the relevant box to confirm.

Digital identification can be used for Options 2 and 3, however, if using these methods, you must ensure you include the approved provider details and the reason for using digital verification.

Section 2 – Applicant Declaration
This will be the same name that appears on the Application Form in Question 2/3. **The applicant must sign this section to confirm their understanding how the DBS will process their personal data and the options available to them for submitting an application**. This section is also requested as MHM Wales must have the applicant's consent to be in line with the Data Protection Act (DPA) and GDPR (General Data Protection Regulation) which came into force on the 25th of May 2018.

Section 3 - Applicant's Role
Please complete all parts of this section. This information confirms to us that the application for the check within the status requested is valid. If we cannot do this, the application may be challenged by the DBS.

You MUST indicate the vulnerable group(s) the applicant will be working with, i.e. whether the position is with children, vulnerable adults or both. Under the unlikely circumstances that the vulnerable group is neither of these, you should indicate other and name the group

You must also indicate the status of the check the applicant is seeking (Standard or Enhanced), and if the applicant will be engaging in paid employment or voluntary worker. It is important to fully understand the DBS definition of a free of charge volunteer – More guidance can be found on www.gov.uk/dbs.

Lastly, you must indicate whether the check is for a new post holder, an existing post holder or a post holder re-check.

Section 4 - ID Evidence Checker's Declaration
The Declaration must be signed by the person who has checked the applicant's identity and who has confirmed that they have done so in Questions 58/59. Please note that by completing Question 58 on the DBS application Form and signing this Statement, you are declaring that you have checked the evidence documents. **Please note: We do not need to see copies of the documents, so you do not need to enclose copies with the Statement of Valid Identity Check.**

Section 5 – Record Keeping
The DBS has changed the timeframe for recording and keeping records from 6 months to 2 years. Please ensure you comply with DPA GDPR 2018 by keeping these records safe and secure. Please

Guidance for the person checking the applicant's identity

As the Registered Body, MHM Wales has an important role in the provision of appropriate DBS Checks. We have the primary responsibility for ensuring that the identity of the person for whom the DBS Check is requested is who they say they are.

As the Registered Body, we are responsible for:

- checking and validating the information provided by the applicant on the application form,
- establishing the true identity of the applicant, through the examination of a range of documents as set out in this guidance'
- ensuring that the applicant provides details of all names by which they have been known and of all the addresses they have lived at in the last 5 years,
- ensuring that the application form is fully completed and the information it contains is accurate.

We can do this by direct contact with the applicant only when we are able to physically check the identity evidence documentation. As this would prove un-workable for most of our customers and would considerably increase the time it takes to process and submit DBS applications, as well as adding to the cost, the Disclosure & Barring Service (DBS) has accepted that we may pass this function to you, the employing organisation.

However, the rules that apply to the Registered Body must also be observed by the employing organisation. Failure to do this may compromise the integrity of the DBS check.

So, before checking the applicant's identity, you are advised to read the guidance given at www.gov.uk/dbs. The DBS ID checking guidance also outlines ways to determine the legitimacy of documents by how to spot potential fraudulent documentation.

In brief, you should ensure that:

- you only accept valid, current and original documentation (no photocopies or documents printed off the internet)
- identity information (e.g. name, date of birth, address etc.) matches that given in Sections (a) to (c) on form
- where possible, you ask for photographic identity (e.g. passport, new style driving licence, etc. and compare this against the applicant's likeness).
- one document must confirm the applicant's date of birth as stated in Section (a).
- you should see at least one document to confirm the applicant's current address
- the applicant has provided a **full and continuous address** history covering the last five years.

The majority of applications will follow Route One when checking identity. The documents you can request to see to check identity are set out below. Further information can be found at www.gov.uk/dbs

If you are responsible for checking ID documents and if the DBS check is for one of your workers, it would help if you completed Sections W and X of the DBS Application Form on behalf of MHM Wales, but this is not essential. However, you should ensure that the Statement

of Valid Identity Check that accompanies the application is completed in full and is signed by the person who checked the documents.

Checking the applicant's identity

DBS ACCEPTABLE ID DOCUMENTS for UK or EEA Applicant

Checking Applicant's Identity – Route One

When checking an applicant's identity, see one document from Group 1 and two documents from either Group 1, Group 2a or Group 2b.

GROUP 1 – Primary Trusted Documents

- Current valid Passport (any nationality) UK passports can be accepted up to 6 months after expiration.
- Current Biometric Residence Permit (BRP)***
- Current eVisa (view via Home Office online service)
- Application Registration Card (ARC)
- Certificate of Application (with Positive Verification Notice)
- Current UK Driving Licence (photo card or paper, full or provisional)
- Birth Certificate (issued at time of birth)
- Adoption Certificate

GROUP 2a – Trusted Government Documents

- Current UK Driving Licence (paper or photo card, if not used in Group 1)
- Current non-UK Driving Licence
- Birth Certificate (issued after time of birth)
- Marriage/Civil Partnership Certificate
- HM Forces ID Card
- Firearms Licence
- Immigration Document

GROUP 2b – Financial and Social History Documents

- Mortgage Statement (UK or EEA) **
- Bank/Building Society Statement (UK or EEA) *
- Bank/Building Society Statement (Outside the EEA) *
- Bank/Building Society Account Opening Confirmation Letter (UK only)
- Credit Card Statement (UK) *
- Financial Statement (e.g. pension, endowment etc) **
- P45/P60 **
- Council Tax Statement **
- Letter or Sponsorship from future employer (Non-UK / Non-EEA only)
- Utility Bill (UK only – not mobile phone) *
- Benefit Statement (e.g. Child Allowance, state pension etc) *
- Document from Central/Local Government or Government Agency giving entitlement
- HMRC Self-Assessment or Tax Demand Letter**
- European Health Insurance Card (EHIC) or Global Health Insurance Card (GHIC)
- EEA National ID Card
- Irish Passport Card

- Cards Carrying Pass Accreditation Logo
- Letter from head teacher/college Principal (16/17-year-olds in full time education

(*Issued within 3 months) (**Issued within 12 months) (***Biometric Residence Permits (BRPs) showing Indefinite Leave to Remain/Enter or No Time Limit can be used up to 18 months past expiry.)

Note: A document showing the applicant's current address is no longer mandatory under DBS ID guidelines, but full 5-year address history must still be provided.

Checking Applicant's Identity – Route Two

If the applicant cannot produce a document from Group 1, the applicant must produce three documents from Group 2 comprising of:

- one document from Group 2a; ***and***
- two further documents from either Group 2a or 2b ***and***
- the organisation conducting the ID check will need to ensure that an appropriate external validation service is used to check the applicant against their records to establish the applicant's name and living history

What is an external ID validation check?
An external ID validation check is an alternative way of verifying the identity of an applicant. It will involve you providing an applicant's details (as presented on the application form) to your chosen supplier, who will compare the data you have obtained from the applicant against a range of independent, external data sources.

Full details of the external validation check is given in the DBS Revised Identification Checking Guideline at www..gov.uk/dbs, or request a copy from us at MHM Wales. There are a number of bodies that carry out external ID verification checks. There is usually a charge for this service; typically up to £10 per check. **If you have to use Route Two and would prefer us to carry out the check for you, we have to pass the cost on, plus an administration fee of £5.00 for each check conducted.**

Checking Applicant's Identity – Route Three

Route One must have been considered and if it has not been possible to check the applicant's identity by this route, the organisation checking identity must have attempted to access an external validation check (Route Two) before considering Route Three
If the applicant cannot meet the requirements of Route One and Route Two, the organisation checking the applicant's identity should have a probing discussion with them to establish why they could not meet these requirements and whether there has been a recent or previous change of name that has not been declared.

The applicant must then produce

- Birth Certificate ***and***

4 further documents

- 1 document from Group 2a **and**
- 3 documents from either Group 2a or 2b; one of which must verify their current address

Checking the applicant's identity

DBS ACCEPTABLE ID DOCUMENTS for Non UK or Non EEA Applicant (paid work)

An applicant who wants to do paid work and isn't a national of the UK or European Economic Area (EEA). For more information, please refer to www.gov.uk/eu-eea

Applicants must be able to show one primary document and two supporting documents from the below list.

If an applicant is unable to provide this documentation they cannot submit a DBS check. This is because the right to work in the UK can't be established and they cannot use any other route.

The Documents must be originals, not copies. At least one of the documents from either the primary supporting documents lists must show the applicant's current address.

The primary document list contains the range of documents you may accept for a person who has a permanent or temporary right to work in the UK. For more detailed information can be found in 'An employer's guide to acceptable right to work documents'.
www.gov.uk/government/publications/acceptable-right-to-work-documents-an-employers-guide

Primary Documents

- A permanent residence card issued by the Home Office to the family member of a national of a European Economic Area county or Switzerland.
- A current Biometric immigration document (Biometric Residence Permit) issued by the Home Office to the holder indicating that the person named is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK.
- A current passport endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has the right of abode in the UK, or has no time limit on their stay in the UK.
- A current immigration Status Document issued by the Home Office to the holder with an endorsement indicating that the named person is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK, together with an official document giving the person's permanent national insurance number and their name issued by a government agency or a previous employer.
- A current passport endorsed to show that the holder is allowed to stay in the UK and is currently allowed to do the type of work in question.
- A current Biometric Immigration Document (biometric Residence Permit) issued by the Home Office to the holder which indicates that the named person can currently stay in the UK and is allowed to do the work in question.
- A current residence Card (including an Accession Residence Card or Derivative Residence Card) issued by the Home Office to a non-European Economic Area National who is a family member of a national of a European Economic Area country of Switzerland or who has a derivate right of residence.

- A current immigration Status Document containing a photograph issued by the Home Office to the holder with a valid endorsement indicating that the named person may stay in the UK, and is allowed to do the type of work in question, together with an official document giving the person's permanent National Insurance Number and their name issued by a Government agency or a previous employer.

- A Certificate of Application issued by the Home Office under regulation 17(3) or 18A(2) of the immigration (European Economic Area country or Switzerland stating that the holder is permitted to take employment which is less than 6 months old together with a Positive verification notice from the Home Office Employer Checking Service.

- An Application Registration Card issued by the Home Office stating that the holder is permitted to take the employment in question, together with a positive verification notice from the Home Office Employer Checking Service.

- A Positive Verification Notice issued by the Home Office Employer Checking service to the employer or prospective employer, which indicates that the named person may stay in the UK and is permitted to do the work in question.

Supporting Documents

The applicant must be able to show 2 documents from any of these groups.

GROUP 1 – Primary Trusted Documents

- Current valid Passport (any nationality) UK passports can be accepted up to 6 months after expiration.
- Current Biometric Residence Permit (BRP)***
- Current eVisa (view via Home Office online service)
- Application Registration Card (ARC)
- Certificate of Application (with Positive Verification Notice)
- Current UK Driving Licence (photo card or paper, full or provisional)
- Birth Certificate (issued at time of birth)
- Adoption Certificate

GROUP 2a – Trusted Government Documents

- Current UK Driving Licence (paper or photo card, if not used in Group 1)
- Current non-UK Driving Licence
- Birth Certificate (issued after time of birth)
- Marriage/Civil Partnership Certificate
- HM Forces ID Card
- Firearms Licence
- Immigration Document

GROUP 2b – Financial and Social History Documents

- Mortgage Statement (UK or EEA) **
- Bank/Building Society Statement (UK or EEA) *
- Bank/Building Society Statement (Outside the EEA) *
- Bank/Building Society Account Opening Confirmation Letter (UK only)
- Credit Card Statement (UK) *
- Financial Statement (e.g. pension, endowment etc) **
- P45/P60 **

- Council Tax Statement **
- Letter or Sponsorship from future employer (Non-UK / Non-EEA only)
- Utility Bill (UK only – not mobile phone) *
- Benefit Statement (e.g. Child Allowance, state pension etc) *
- Document from Central/Local Government or Government Agency giving entitlement
- HMRC Self-Assessment or Tax Demand Letter**
- European Health Insurance Card (EHIC) or Global Health Insurance Card (GHIC)
- EEA National ID Card
- Irish Passport Card
- Cards Carrying Pass Accreditation Logo
- Letter from head teacher/college Principal (16/17-year-olds in full time education

DBS ACCEPTABLE ID DOCUMENTS for Non UK or Non EEA Applicant (unpaid work)

The applicants for voluntary work who aren't UK or EEA nationals must use Route 1.

Therefore, you should ask to see the following documents from the above list:

- **one document** from Group 1 below **and**
- **two documents** from either Group 1, Group 2a or Group 2b

Useful Links to DBS Guidance

https://gov.uk/dbs

https://www.gov.uk/guidance/track-a-dbs-application

https://www.gov.uk/guidance/basic-dbs-checks-guidance

https://www.gov.uk/dbs-check-applicant-criminal-record

https://www.gov.uk/guidance/track-a-dbs-application

https://www.gov.uk/guidance/digital-and-online-services

https://www.gov.uk/government/collections/dbs-checking-service-guidance--2

https://www.gov.uk/government/collections/dbs-eligibility-guidance

https://www.gov.uk/guidance/barring-referrals

https://www.gov.uk/report-problem-criminal-record-certificate

https://www.gov.uk/dbs-update-service

https://www.gov.uk/government/organisations/disclosure-and-barring-service