Disclosure & Barring Service

Production Business Manual

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| Changes to previous version:	
Section	**Change details**
QM Responsibilities P7	Poise filepath amended to _CFP/1/11/007/029/008/01/006/02 CRM Intranet amended to CRM Intranet/Infobank/Procedures/DBS Procedures/Procedures – Agency & Operations removed from the filepath
5.0	CRB service performance amended to DBS service performance
5.3 Assurance & Procedures Team	2nd paragraph – Poise filepath and CRM filepath amended
5.6 Relationship Management	2nd paragraph – The following "who rank as the 51-200 highest volumes…." Amended to "who rank as the 51-300 highest volumes…" 3rd paragraph – The following has been added "Both teams also monitor compliance on selected RB's including those outside of the account management catchment"
Appendix A Disclosure Application Process	Capita removed and replaced with TCS

Contents

Procedure Navigation

Hyperlinks – are used within procedure flowcharts and throughout the document. They are marked in blue and may be underlined e.g. Contents Page.

- Click (or Ctrl and Click) the blue text to go to the relevant part of the document.

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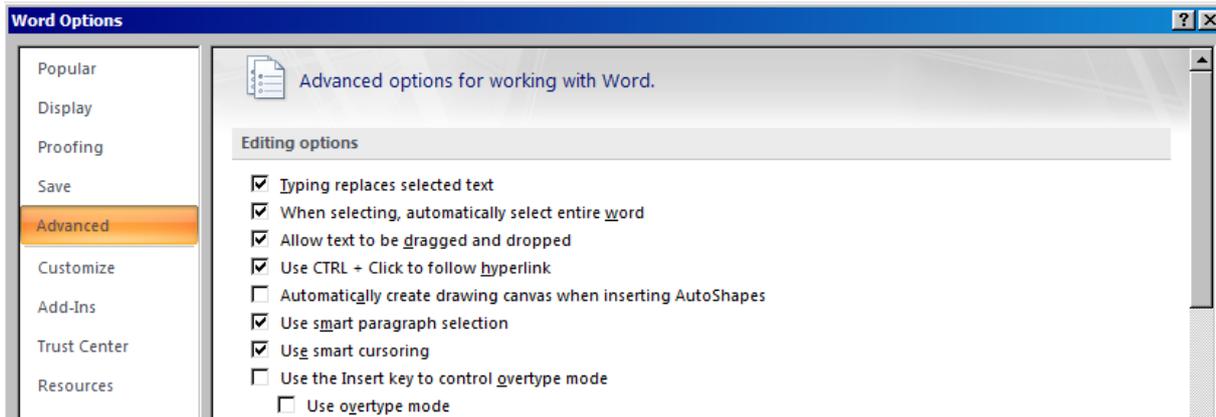
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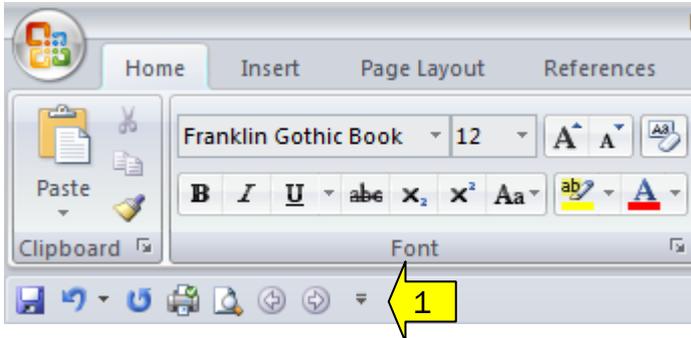
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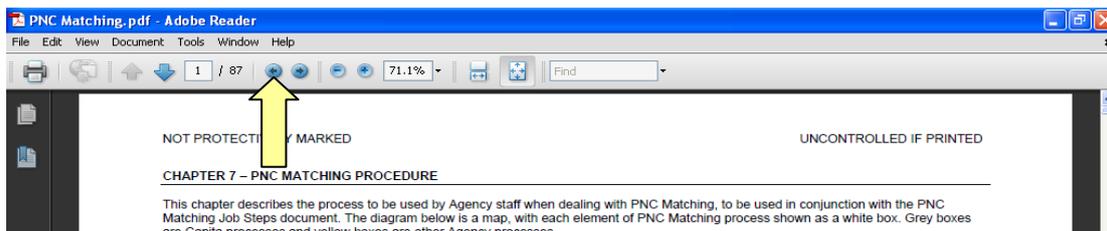
Contents Page – Clicking any heading or page number within the contents page will take you to that section of the procedure. Click the blue arrow as above to return to the contents page.

Glossary

Reference	Definition
ACPO	Association of Chief Police Officers
BTAT	Business Transition and Assurance Team
DBS	Disclosure and Barring Service
CRM	The DBS Customer Relationship Management computer system
PNC	Police National Computer – Police technical infrastructure for maintaining criminal conviction details.
LPF	Local Police Force - those 'relevant forces' referred to within Part V of the Police Act 1998
OTW	'Over The Wall' – Work from TCS
PLX	Police Local Cross Reference search function – used to identify LPFs that may hold relevant information on an applicant
QMS	Quality Management System - the organisational structure, responsibilities, procedures, processes and resources for implementing quality management.
Quality	The totality of features and characteristics that impact on the ability of a service to satisfy fitness for use
SLA	Service Level Agreement
TCS	Tata Consultancy Services – DBS' private partner

1.0   Organisation Profile

The Disclosure and Barring Service (DBS) is an Executive Non-Departmental Public Body sponsored by the Home Office.

DBS was established under the Protection of Freedoms Act 2012 and carries out the functions previously undertaken by the Criminal Records Bureau (CRB) for England and Wales and the Independent Safeguarding Authority (ISA) for England, Wales and Northern Ireland.

The primary role of the Disclosure and Barring Service is to help employers in England and Wales make safer recruitment decisions by issuing criminal records checks and to prevent unsuitable people from working with vulnerable groups including children.
The DBS is committed to achieving the highest level of quality in the services we provide in order to protect children and vulnerable groups.
The quality of these services, compliance to all applicable regulatory requirements, continuous improvement and customer satisfaction underpin the development of our Quality Management Systems (QMS).

Scope:

This manual describes the system requirements that apply to the processes which exist within the Operations area of DBS, known as "Production". These processes are concerned with the initial checking processes designed to compile information relevant for release to employers within set timescales.

The following diagram shows the business functions which fall within the scope of the Production Quality Management System, their sequence and interactions, both internally and outside of the stated QMS. These processes support the implementation of the QMS. Criteria and methods needed to ensure that both the operation and control of these processes are effective have been defined within this manual and the various QMS procedures.

Senior management ensures the availability of resources and information necessary to support the operation and monitoring of these processes. Senior management are responsible for monitoring, measuring, analysis and implementation of actions necessary to achieve planned results and continual improvement of processes.
Control of outsourced processes is defined within the QMS ensuring conformity to all requirements, including customer requirements.

QMS Process Diagram:

TCS

Overall volume intake expectation

Police Performance Managers

Production Demand Team

PNC matching notifications

Work Management

Expected OTW volumes

Conflicted request

Resource available

Allocation

Next stage notification

LPF

Internal Production Processing

PNC matching, Unsures, Barred list matching, Conflict resolution, Fingerprinting, Internal QA

Barring Operations

Issues arising

Automated intervention

No intervention

Production process issue

RB/LPF issue

Investigation / Analysis

Incorrect

BTAT Assurance

TCS issue

Correct action

Process failing

Complaint

Customer Service Team

No process failing

Customer

Legend	
→ (green) System process	▢ (blue) QMS FUNCTION
→ (red) Internal communication/liaison	▢ (pink) INTERFACING FUNCTION
→ (blue) External communication/liaison	▢ (green) NON-SPECIFIC FUNCTION

Customer requirements:

The DBS as an organisation undertake and respond to customer satisfaction surveys. The DBS Production area however, operates within the parameters of technological resource and products which are specified, designed and developed outside of the scope of our Quality Management System.

We recognise however, that the major contribution the Production functional department can provide to customer satisfaction is by developing and operating internal processes which provide a 100% accurate response within agreed service standards and this is how we define our customer requirements.

Customer Feedback

Customer satisfaction surveys reflect the end to end application service. Production processing functions provide only part of this service. Various interventions occur following the production processing functions, designed to correct information where appropriate to avoid a lack of integrity in the information released and preclude final delivery of non conforming product.

In any instance where a potential inaccuracy has arisen as a consequence of production processes or personnel, the issue is communicated back to the department, in order that corrective action can be considered. Similarly, occasions exist where the department will identify internally that incorrect information has been released prior to receipt by the customer. In such instances, processes exist to intervene and prevent use of the non conforming certificate. In any of the situations detailed, for the purpose of the production QMS we treat as an expression of customer dissatisfaction and can thereby use this information to provide a measurement of QMS performance.

The production department monitors the achievement of internal Public Service Standards and the managers of specific functions take responsibility for monitoring the age of applications and where necessary providing interventions to avoid customer dissatisfaction.

QMS Responsibilities:

The assurance of quality and integrity of our services are the responsibility of:

1. The Chief Executive; who has overall responsibility for creation of an atmosphere of high standards;
2. Directors and managers of all levels who are charged with development and implementation of quality systems;
3. Each employee, who is responsible for the quality of his or her work and suggesting potential improvements to processes and methods.

This Business Manual is the top tier of our documentation system. It gives an overview of our Quality System. It is supported by our departmental procedures.

To support the QMS processes we have developed a series of quality procedures, these are: Document Control, Records Control, Internal Audit, Control of Non-Conforming product, and Corrective/Preventive actions. These documents are stored on:

- Poise F Drive / _CFP / 1 / 11 / 007 / 029 / 008 / 01 / 006 /02
- CRM Intranet / Infobank / Procedures / DBS Procedures / Procedures

2.0   Production Quality

This section explains the Production Quality policy, objectives and management responsibilities.

2.1   Production Quality Policy

DBS are committed to providing a quality of service that will meet with the needs of our customers. Producing a 100% accurate certificate within set deadlines contributes to the department's achievement of its public service. We recognise that this is achieved through our employees and are committed to creating a culture and encouraging an environment which promotes standards of excellence.

Rosemary Earp

(Head of Operations)

It is the responsibility of the line management chain to ensure that our employees fully understand how important their roles are in terms of contributing to the protection of children and the vulnerable.

2.2   Production Quality Objectives

The Production Quality Objectives can be found via the production page of CRM intranet. These objectives were agreed with consideration to the Organisation Vision and Principles outlined within the organisation Business Plan which can be accessed on the Horizon and CRM intranets.

2.3   Production Staff Quality Management Responsibilities

All our staff can contribute to the success of the Quality Management System by:

- Performing consistently to their maximum ability
- Developing themselves and where possible helping to develop colleagues
- Adhering to correct up to date guidance, processes and recognised best practice
- Identifying where improvements may be made and providing suggestions and solutions via the available communication channels.

All necessary resources will be made available to maintain and continually improve the effectiveness of the Quality management system.

Management Review

The Management Review forum consists of the Head of Operations, the Senior Operations Managers and the Production Quality Support Manager. They have the executive responsibility of creating the environment where meeting or exceeding customer needs is the highest priority and hold ultimate authority with regard to acceptance of improvements via regular management reviews.

This forum establishes the Quality Policy, Quality Objectives and conduct management reviews to ensure that the Quality System is effective and relevant.

They receive, and consider, on a regular basis reports about:

- Updates and improvements to procedures.
- Internal audit programme, audits and findings.
- Achievement of quality objectives
- Customer satisfaction surveys.
- Customer complaints
- Certification body assessments and surveillance visits, findings and corrective action.
- "Assumed" customer dissatisfaction in terms of "potential" inaccuracies being identified internally and rectified prior to delivery.

Quality Management System Improvement

The Production department follows the **'Plan - Do - Check – Act'** cycle to develop and improve its Quality Management System. This provides a consistent method for quality improvement:

PLAN   what is needed to be accomplished in the future and what is needed to do to get there.

DO   what was planned.

CHECK   the results of the action to see if the planned objectives were achieved.

ACT   on the information to standardise or improve. Continue the cycle.

```
                    CUSTOMER
                   (Requirements)



                      PLAN
                   (Set targets)

                 Objectives set at management
                           level


         SENIOR MANAGEMENT LEVEL
           Management review

              -quarterly meetings
       -ongoing consideration of suitability of
          objectives and performance vs
                   objectives

    ACT                                          DO
 (Improvement)                             (Build in quality)

Improvement projects / Initiatives      Day to day operation in line with
        /Trials                                approved guidance
                                        Quality Assurance, Internal quality
                                               system audits

              ALL LEVELS
       Communication – regular
               meetings
             Issues arising
         Best practice methods
           Ongoing learning
          Continual Improvement

                     CHECK
                  (Performance)

                Evaluation of results/data
                       analysis


                    Customer
               (satisfaction and feedback)
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3.0   Production Quality Management System

This section outlines the various practices via which the department seeks to maximise quality in terms of customer satisfaction.

3.1   Production Department

The processes within the Production department are primarily concerned with ensuring the correct information be attached to the application at the earliest opportunity.
The principal aim for Production is to achieve 100% in the accuracy of data collected within the functional area, during these processes. The area also seeks to exceed internal performance indicators for timeliness to support the end to end business Public Service Standards (published in the Business Plan). Production management recognise and support the aims to provide the highest level of customer service. We endeavour at all times to maximise customer satisfaction by continually considering both our customers' needs and also the statutory and regulatory requirements of the Organisation.

3.2   Personnel

Personnel within the Production area are recruited based upon competence for the role. Production management define competency requirements in consultation and agreement with the DBS operations Human resources department.
Copies of job descriptions and job applications are kept on file in the Human Resources Department.

3.3   Training and Development

Production area provides localised specific training of all functional processes using suitably skilled and experienced staff. Training is reviewed to ensure that it is consistent with the current processes and requirements of the role.
Production management define the staffing numbers which are required to be competent in each individual function in order to ensure sufficient contingency exists to meet objectives. These levels are outlined within the Production Strategy document (located on the CRM intranet – Production - Quality tab). The DBS encourage personal development. Personal development and training plans are discussed, agreed and documented in individual Personal Development Reviews. We actively encourage our staff to be part of the planning of their own personal development. Individual line managers are responsible for monitoring individual performance and recognising where additional or specific training is required and assuring that the training has been effective for the individual. The Production Quality Support Team hold responsibility for the design and content of induction and training functions and will continuously review the training effectiveness.

3.4   Guidance

Access to electronic controlled documents, Procedures Manuals, work instructions and Flow Charts is provided via the CRM intranet Production page. Where the department

defines that hard copy guidance is required, suitable controls are operated to ensure that revised guidance is distributed at the appropriate time and out of date guidance is withdrawn and destroyed. Individual managers have final responsibility for ensuring their staffs undertake their duties in accordance with current approved guidance. This includes prompt communication of relevant procedural changes.

3.5   Communication

Communication relating to the effectiveness of the QMS and thereby performance with respect to achieving planned requirements is achieved through day to day contact with all staff supported by the following methods of communication:

- Internal memos/bulletins
- Notice boards; including DBS TV
- One to one meetings;
- Management meetings and
- Team briefings

3.6   Ideas and Suggestions

Staff can contribute ideas and thoughts as to potential improvements through a variety of avenues, dependant upon the nature of the proposal. These include a local "Have your say" suggestion scheme, the organisations formal staff suggestion scheme or directly through the line management chain of command.

3.7   Infrastructure

TCS and DBS operations jointly work on the environment/infrastructure, determine the buildings, workspace, equipment, hardware and software required to meet the needs of the service. They also ensure that buildings, workspace, hardware, equipment and software are available, maintained and appropriate in order for the area to achieve our quality objectives and comply with the aims and intent of the quality policy.

3.8   Data Analysis

DBS Production area identifies, collects and analyses appropriate data to demonstrate the suitability and effectiveness of the quality management system and to evaluate where continual improvement of the quality management system can be made. Appropriate data includes data generated as a result of monitoring and measurement and from other relevant sources.

3.9   Permissible Exclusion

Productions have excluded the following sections of the ISO 9001:2008 from the Quality Management System:

➤ 7.3 Design and Development and 7.4 Control of Purchasing and Purchased Products:

- Consistent quality assessments of the front end performance and contracted IT services is vital to the success of our quality system and ultimate product. Contractual agreements detail DBS's expectations in terms of timeliness and accuracy of the data throughput from the Service Provider, which provide the basic materials and processes for the quality checking
- Monthly board meetings provide a forum for performance review and financial penalties may be imposed in the event of continuing failure of the supplier to meet the stated requirements in terms of data quality and IT performance

➤ 7.6 Control of monitoring and measuring equipment:

- As a service provider we do not use measuring devices that require calibration

4.0   Production QMS Processes

This section describes the internal functions which fall under the scope of our QMS.

4.1   Demand Forecasting

This is the activity which predicts the amount of future work which will be received by the DBS operations for processing. Historical data and intake forecasts from organisations are analysed and used to assess future capacity needs and managers can thereby determine and effect the provision of adequate staffing levels.

4.2   Work Management Team

The Work Management Team controls and monitors the distribution of application process notifications to control a consistent workflow and thereby help ensure internal Service Levels for clearance of work are achieved.

4.3   PNC Matching Process

The PNC matching process involves all comparison checking of applicant details against specific detail extracted from the Police National Computer System.

4.4   LPF Conflict Process

Following on from the PNC matching process, the Conflict process, where applicable, permits Police forces to electronically request or provide further information in order that they can make reliable decisions regarding the potential release of non conviction information held on their records or ensure that all conviction data is included for the employer to make reliable recruitment decisions.

4.5   Barred List Matching Process

The barred list matching process exists to ensure that records of those who are deemed unsuitable to work with Children and/or adults as defined by the Safeguarding Vulnerable Groups Act are correctly attached to applicants in order that employers are aware of all information relating to those individuals.

4.6   Internal Quality Assurance

Sample quality assurance is performed by Team Leaders which may identify and record lapses or identify potential problems. However most lapses which may create non conformance are primarily identified via or reported through the BTAT or the Internal Quality Support team. Individual lapses are reported via appropriate mechanisms to Line

Managers who analyse the root cause of these and take proportionate corrective actions. These actions are agreed and documented prior to implementing. This process is designed to ensure that accuracy rates and performance are maximised.
Trends are monitored at all levels with suitable corrective measures agreed and invoked by the appropriate level of management.

4.7   Operations Quality Audits

Internal audits are performed by suitably trained personnel. Results of audits are reported to the Head of Operations and the Senior Operations Manager responsible for the command unit. It is their combined responsibility to ensure appropriate corrective actions are invoked to correct highlighted non conformities.
Conducting regular audits ensures that our processes as well as the corrective actions implemented are continuously measured and reviewed for any areas of improvement. We use the ISO 9001:2008 standards as guidance for our Quality Management System.

Our auditors are deemed competent to work independently when they have completed the BSI: Auditing to ISO 9001 training course, and have shadowed an established competent auditor. In order to assure integrity our auditors are required to display impartiality. This is validated by the Production Quality Support Manager shadowing a minimum of one audit annually.

5.0   Dependencies/Interfaces

The processes which fall within the stated scope of the Quality Management System interface directly with a number of internal and external departments. The effectiveness of the processes and performance of these departments will influence the overall service. Although each supporting area has responsibility for their own processes, various control mechanisms exist to ensure as far as possible that the service from each of these interfacing functions will enable both the internal Production processes and thereby, the overall DBS service performance to be maximised. These dependencies are detailed below:

5.1   Local Police Forces

Where DBS identify an applicant as a potential match to a PNC record; to a PLX record or where an application is for an occupation which takes place primarily in the home of the applicant, a referral is made to all relevant Police forces. Checks are then undertaken by the Police, using the information provided by DBS, following the prescribed ACPO-DBS Quality Assurance Framework. Where Police determine that they hold information that is, in their opinion, relevant and ought to be disclosed, they provide that information to DBS via interface systems and it is included on the face of the certificate.

A Service Level Agreement (SLA) exists between DBS and all relevant forces - this SLA includes the operational targets by which individual force performance is measured and reported. Relationship Management teams monitor performance and quality and the Production area is able to escalate issues and concerns relating to police operations to these teams. This may be done formally, via the quarterly Steering Group; at the monthly Operations Board or if necessary, to the Relationship Management teams themselves.

5.2   TCS

TCS are the private partners to the agency in delivering the end to end service. Subject to the provision of overall intake expectation from DBS agency Demand team, TCS are required to provide accurate forecasts of workload expectations in order to enable production management to undertake effective resource planning to meet Internal Service level requirements.

TCS are also responsible for IT, work environment, and various functions relating to facilities in order to provide suitable ergonomic conditions.

Additionally, TCS undertake all front end activity to ensure that application data is cleansed in accordance with stated contractual requirements to enable system and manual follow up actions to be performed with due integrity and accuracy.
A contractual agreement document provides the detail of service level expectations.

5.3   Business Transition and Assurance Team (BTAT)

Quality Assurance

The Business Transition and Assurance Team ensure that procedures are adhered to and, as far as is practicable, that any released information is correct. The area manages the DBS operations Quality Management Framework, which seeks to ensure quality across the end to end process by quality control, assurance and inspection, including various interventions within the processes by which conviction and other relevant information is ultimately collected and subsequently provided to the applicant. A variety of specific checks are undertaken within this area, a number of which ensure that the initial released information is correct. There are however, also a number of sample checks, subsequent to the release of information via which process errors may be identified. Relevant Information is reported to the appropriate functional team in order that root cause analysis can be undertaken and preventive or corrective actions invoked to preclude existing and potential risks.

A quarterly Quality Steering Group provides a formal forum of identifying trends and considering appropriate action to reduce or remove the risk. Should any high risk service delivery issues arise which require immediate action, then more ad-hoc discussions will take place and appropriate solutions agreed and implemented.

Assurance and Procedures Team

This team is responsible for the development and update of all guidance relating to Production QMS processes including procedures, flowcharts and work instructions in a consistent, accurate and timely manner.

Procedures are a fundamental part of DBS assurance to ensure processes are conducted consistently in order that as far as is practicable, the correct result is achieved. Procedures can be obtained via **Poise / F Drive / _CFP / 1 / 11 / 007 / 029 / 008 / 01 / 006/ 02** or **CRM Intranet / Infobank / Procedures / DBS Procedures / Procedures** .

If a new procedure is required, or a current procedure needs updating, an 'AF10'form should be completed and submitted to the 'DBS Procedures' shared inbox which can be found on the Outlook drop down menu. An AF10 is located on: **Poise / F Drive / CFP /1 / 11 / 007 / 029 / 008 / 03 / 02**.

Procedures will only be amended or created with agreement of a senior operations manager and will be routed via the Quality Support Team to assure the suitability of the content in consideration to meeting the requirements of the service.

5.4   Barred Lists

The Disclosure and Barring Service retain and update lists of those individuals deemed unsuitable for working with children and/or adults as defined by the Safeguarding Vulnerable Groups Act.

In the event that a record on these lists is found to be a potential match to an applicant

final confirmation of the decision by the Barring operations department is required and therefore confidence in the relevant processes is paramount.

The Barring operations department is bound by the legislation included within the Safeguarding Vulnerable Groups Act 2006. This requires essentially, the prompt, accurate provision of the lists in agreed format for comparison against applicant details. A service level agreement exists which is approved by the Head of Relationship Management.

5.5   Customer Service Team

The customer service team receives complaints from applicants relating to service issues, including delay. This may also relate to information which the applicant deems inaccurate either in terms of conviction/non conviction data or in terms of their personal data being inaccurate. Issues are communicated back to Production managers where relevant for corrective action. In the instance of disputed conviction or non conviction data this will usually be subject to initial consultation with the BTAT team to establish where the process failing occurred.

5.6   Relationship Management

Aside from the communication between DBS and various Local Police Forces detailed at 5.1, the RB Account Management Team also provide support to the network of "Registered Bodies" who utilise the service. They enable a two way avenue of communication, primarily in respect of the key areas of data quality; electronic applications via the e-bulk service, demand management; introduction of new services. A team of Account Managers support and manage the 50 plus users submitting the current highest volumes of applications via face to face meetings and telephone/e-mail communication.

A Support Team manages the RBs who rank as the 51 – 300 highest volumes of applications users (the top 200 RBs are responsible for 50% of all applications) via telephone/e-mail communication.

Both Teams support the entire network via prioritisation and trend analysis and this may result in remote corrective action or a more bespoke solution, proportionate to the specific issue. Both teams also monitor compliance on selected RB's including those outside of the account management catchment.

This enables a mutually beneficial relationship which maximises the reliability of data utilised within the DBS Operations environment and thereby the integrity and timeliness of the end to end service to the customer.

APPENDIX A: DISCLOSURE APPLICATION PROCESS