



Dealing with Disclosure Application forms

Guidance Notes for recruiter/employer

These notes have been prepared to assist the recruiter/employer who must complete Section X of the Disclosure application form. They give an overview of your responsibilities in the Disclosure process, together with step-by-step instructions on dealing with applicants' documents.

Please read them carefully.

Note:

The CSCI recommendation is that staff working in a Care Home should have an enhanced not a standard disclosure because if they only have a standard disclosure they are not allowed unsupervised contact with residents. To avoid any potential problems with the CSCI it is recommend that if you are a Care Home you only request enhanced disclosures.

Introduction

Like the previous police checking procedures that it supersedes, the Criminal Records Bureau (CRB) uses the Police National Computer (PNC) record, which serves England and Wales and also holds most relevant convictions in Scotland. Plans are being made to supplement the record with criminal convictions from Northern Ireland, but at present any Northern Ireland convictions may not be reflected in Disclosures.

Verifying applicants' identity

Correct identification of job applicants is the cornerstone of the Disclosure service. When identity is verified beyond doubt, names can be matched with criminal records and – in cases where the position involves working with children - with lists of those banned from working with children held by the Department of Health (DH) and the Department for Education and Skills (DfES). As from 26th July 2004 a similar service will be available in respect of those banned from working with vulnerable adults (the POVA list introduced by the Department of Health), the check will be carried out by the CRB when a Disclosure is applied for.

To operate the service successfully, the CRB must ensure that the identity and current address of each Disclosure applicant is verified beyond doubt. The recruiter/employer plays a vital role in this process. Information provided by the applicant in Sections A-H makes a good basis for establishing identity. But to have full confidence in this information, the CRB require confirmation – from those processing applications - of as much original documentation as is possible.

The CRB is fully committed to compliance with the Data Protection Act 1998, and expects Registered Umbrella Bodies working on their behalf to adhere to the same standards. This means that the personal information provided by applicants on their application forms must be treated confidentially, and the central principles and rights of individuals set out in the Act must be adhered to in relation to this information, the CRB has produced a data protection leaflet, giving the following information:



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Data Protection

This document explains your rights, as a customer of the CRB, under the Data Protection Act 1998. It explains why we require your personal data, and what you can expect from us in terms of our Data Protection responsibilities. It also explains how to obtain a copy of any personal information we may hold about you.

CRB Privacy Statement

The CRB is fully committed to compliance with the Data Protection Act 1998. The following principles will apply when we handle your personal information:

Overall Principles

- Your personal information is only processed with your knowledge
- Only information that we actually need is collected and processed
- Your personal information is only seen by those who need it to do their jobs
- Personal information is retained only for as long as it is required
- Decisions affecting you are made on the basis of reliable and up to date information
- Your information is protected from unauthorised or accidental disclosure
- We will provide you with a copy of your personal information on request
- Inaccurate or misleading data will be corrected as soon as possible
- Procedures are in place for dealing promptly with any disputes

These principles apply whether we hold your information on paper or in electronic form.

The Disclosure service provides details of any relevant conviction information to enable a potential employer to make informed recruitment decisions. The passing or otherwise of the CRB authentication process should not be used as proof of an applicant's identity. Through their own recruitment checks, recruiter/employers should also satisfy themselves of the applicant's identity.

Using your own recruitment checks

The CRB does not wish to place additional onerous responsibilities on organisations - beyond procedures normally expected when filling positions of trust. Many recruiting officers will undertake their own identity checks as part of normal recruitment practice. They simply ask that where such checks are made, you share the relevant details emerging with the CRB in Section X of the Disclosure application form. The details recorded in Section X will help the CRB know how much corroborative identity documentation has been seen. Depending on the amount of detail you collect, the CRB can conduct further checks on its validity if necessary. (Where we receive no details in Section X, the CRB may have to make more extensive enquiries directly with the applicant and their nominated referee.)



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What evidence is needed?

In order to complete Section X of the application form, the recruiter/employer is requested to verify as much physical evidence of identity as the applicant is willing or able to provide. Please note that any document offered as proof of identity must be an original; photocopies are not acceptable. Given that many applicants may be unwilling to submit these original documents by post, you should expect to make arrangements with them to receive completed application forms and to verify supporting documents in person. It is not necessary for you to see *all* of the documents listed in Section X but beginning with at least a **passport or photo-driving license** will provide the basis for a sound proof.

As you check each document, enter the details requested in Section X as evidence of the applicant's identity. *(There are step-by-step instructions below, which clarify all of the details.)* Please then confirm that you have done so by writing your name in the space at Section X, line 16.

Before filling in Section X of the form

Please note that **Section X** of the Disclosure application form must be completed by the recruiter/employer.

Section Y must be filled in and countersigned only by the Countersignatory at W & P Assessment and Training Centre and you must pass it to them to complete.

Before beginning Section X, you should first ensure that the applicant has completed their part of the form correctly.

In particular, please check that:

1. The applicant has given consent to undergo the Disclosure check by signing within the box provided at Section H, line 68.
2. The present name and address, and date of birth they have provided in Section A are supported by original documents shown to you directly as evidence of identity.
3. The applicant has provided previous addresses covering the whole of the past five years. Application forms will be scanned automatically. So it would be most helpful if you would ensure that all information is entered in a way that the CRB computer can read. As requested on the forms, please use **BLOCK CAPITALS** and **BLACK INK THROUGHOUT**. There are boxes marked on the form to show you where to write. Please use only **one letter or number** per box and make sure not to write over the edges of the box. Where relevant, leave an **empty box** between words but **not** between numbers or postcodes: run these straight on, as in this example.

Passport number	9	9	9	9	9	9	9	9	9	9
Nationality	B	R	I	T	I	S	H			

Always mark a **cross [X]** within the relevant boxes. Do NOT put ticks or any other symbol in these boxes.

Please **don't leave any question or entry unanswered** (unless the applicant genuinely does not possess the information requested).

If the applicant has accidentally filled in any part of Section X, you should request that the evidence of identity recorded on the form be given to you to examine and validate. Please ensure that this evidence is all **original** documentation.



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Filling in the form

Section X: Evidence of identity seen by the recruiter/employer

When verifying documentation, always check for signs of tampering. Documents should be queried if they display any signs of damage, especially in the areas of the name and the photograph. The following table of guidelines should help you to be on the lookout for any suspicious signs when authenticating documents.

Passport

Check the general quality and condition of the passport. Treat it with suspicion if it is excessively damaged. 'Accidental' damage is often used to conceal tampering. Photographs should be examined closely for signs of damage to the laminate or for excessive glue or slitting of the laminate. These signs would indicate photo switching. If the photograph appears excessively large, this might indicate an attempt to hide another photograph underneath. There should also be an embossed strip embedded into the laminate, which will catch a portion of the photograph. Check there is no damage to this area.

Foreign Passport

If the passport is from a foreign national, you can still follow the same general procedures as above.

Photo driving license

Examine the license for evidence of photo tampering or any amendment of the printed details.

Old style driving license (no photograph)

Remove the document from the plastic wallet and check that it's printed on both sides. It should have a watermark visible by holding the license up to the light, and there should be no punctuation marks in the name or address. The 'Valid To' date should be the day before the bearer's 70th birthday (unless the bearer is already over 70). The 'Valid To' date can therefore be cross-referenced with the applicant's date of birth detailed in Section A, line 10.

Birth certificate

Birth certificates are not wholly reliable for confirming identity, since copies are easily obtained. However, certificates issued at the time of birth are more reliable than recently issued duplicates. Check the quality of paper used, genuine certificates use a high grade. There should be a watermark visible when the document is held up to the light. Any signs of smoothness on the surface would indicate that original text may have been washed or rubbed away. There should be no signs of tampering, changes using liquid paper, overwriting or spelling mistakes.



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Other forms of identification

The following items may also be used as validation of identity and confirmation of address - but only if the personal details they contain match those entered on the application form. If they do not, they should be disregarded.

- Marriage certificate
- Credit card statement
- Mortgage or insurance statement
- Bank details or statement
- Utility bill

Please note: *None of these items should be used in any way other than to help validate identity and confirm the applicant's address. Recruiter/employers are not entitled to refer to or make use of any personal information detailed on these items.*

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SECTION X is where the recruiter/employer tells the CRB which documents have been seen to confirm the identity and current address of the applicant. The name of the person nominated to complete SECTION X must be given at the bottom of Section X, in the line marked "Evidence seen and checked by".

Instructions for the person completing Section X

If the applicant has filled in any part of Section X, you must cross out details of any documents that you have *not* seen. You must ensure that only original documentation is seen. Photocopies are not acceptable.

Which documents must be seen?

Only documents in this list may be used:

Group 1
Valid passport (any nationality)
UK Driving License (either photo card or paper)
Original UK Birth Certificate (issued within 12 months of date of birth) (full or short form acceptable)
Valid photo identity card (EU countries only)
Group 2
Marriage certificate
Non-original UK birth certificate (issued after 12 months of date of birth) (full or short form acceptable)
P45/P60 statement**
Bank or building society statement*
Utility bill (electricity, gas, water, telephone (inc mobile phone contract / bill))*
Valid TV License
Credit card statement*
Store card statement*
Mortgage statement**



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Valid insurance certificate
Correspondence or a document from: the Benefits Agency; the Employment Service; the Inland Revenue; or a Local Authority*
Financial statement (e.g. pension, endowment, ISA)**
Valid vehicle registration document
Mail order catalogue statement*
Court summons**
Valid NHS Card
Addressed pay slip*
National Insurance number card
Exam certificate (e.g. GCSE, NVQ)
Child benefit book**
Connexions card
Certificate of British nationality
Work permit / visa**
*documentation should be less than three months old ** issued within past 12 months

Which and how many documents should I see to confirm identity?

Please refer to the chart at the end of this document to answer this question.

Please note: All documents must be in the applicant's current name. At least one document must show the applicant's current address and at least one document must show the applicant's date of birth. Please ensure the details in the documentation match those given on the application form.

It is recommended that, if at all possible, the document check is completed using only information that can be recorded in Section X. This makes it easier for the CRB to process your application. Crossing the box at line 15 tells the CRB that you have seen two documents from Group 2 showing evidence of the applicant's current address. If the documents recorded in Section X are *insufficient* to complete the document check process, list *all* documents seen on a separate sheet of A4 paper. Please include the name of the applicant, the form reference number and the registered body number. (The form reference number is found on the front page of the form.) An example of this type of letter (Documentary Evidence Sheet) is show later.

Further guidance when providing evidence of identity

Passport:

Please ensure that the passport number is provided. The photograph should be compared for likeness with the applicant.

Driving license:

Please ensure that the driver number is provided. If a photo card is used, the photograph should be compared for likeness with the applicant.



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Birth certificate:

Please ensure that date of birth and issue date are provided.

Evidence seen and checked by:

The name of the person who has seen and checked the evidence provided in Section X must be given at the bottom of Section X, in the line marked "Evidence seen and checked by". Otherwise, the form will be returned to the recruiter/employer.

Example of documentary evidence sheet:

To be raised by the person identified in Section X line 16

¹ Do not place a cross at line 15 if one of the two documents is a marriage certificate, P45 or P60. These can be recorded in Section X.

Documentary evidence sheet

Applicant name: John Smith

Form reference number: F012345678910

Registered body number: 12345678901

Documents seen:

Passport

P60 Statement

Bank Statement

Credit card statement

Store card statement

Information required on the form – Section X

1 Passport number

Please enter the full and complete passport number of the applicant, leaving no spaces between digits. Please check that the photograph on the passport is that of the individual making the application. Examine the passport carefully for evidence of tampering with the photograph or amendment of any details.



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2 Date of birth

Please enter the date of birth shown in the applicant's passport.

3 Nationality

Please enter the nationality as shown in the passport.

4 Issue date

Please enter the date of issue as shown in the passport.

5 Driving license number

Please enter the driver number on the license. If the applicant holds a UK driving license, include the two digits that are shown separately on the left hand side of the driver number.

6 Date of birth

Please enter the date of birth shown on the driving license.

7 License type

Please specify whether the license you have seen is an old style paper license (without a photo), or a photo card. If it's a photo card, check that the photograph on the card is that of the individual making the application. Examine the license carefully for evidence of tampering with the photograph or amendment of any details.

8 License valid from

Please enter the date when the license was issued.

9 Country of issue

If the applicant holds a UK driving license, please place a cross the **UK** box. If it is a foreign license, please write the name of the country of issue in the boxes labeled **Other**.

10 Birth certificate date of birth

Please enter the date of birth as shown on the birth certificate.

11 Issue date

Please state the date when the birth certificate was issued.

12 Country of issue

If the applicant has a UK birth certificate, please cross the **UK** box. If it is a foreign certificate, please write the name of the country of issue in the boxes labeled **Other**.



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13 Marriage certificate issue date

Please state the date when the marriage certificate was issued.

14 P45 or P60 National Insurance number

Please enter in the spaces provided the National Insurance number shown on the applicant's P45 or P60. If the applicant is under 16 and has Child Benefit documentation, please enter the Child Reference number in the same boxes.

15 Current address details checked against documentation

Please cross this box only if you have been given and have checked at least two documents from the following list which confirm the applicant's current address.

- Recent bank statement
- Recent mortgage or insurance statement
- Recent credit card statement
- Current Council Tax bill
- Recent utility bill

The documents must be from different sources. *E.g.*: One bank statement and one Council Tax bill, *not* one bank statement and one credit card statement from the same provider. If the applicant has moved very recently and does not yet have any statements showing their current address, then correspondence from the solicitor who handled the purchase of their property can be accepted – so long as it is printed on the solicitor's headed paper and includes or mentions the current address. If the applicant is in rented accommodation, their rent book or a letter from the landlord may also be considered as evidence.

16 Evidence seen and checked by

Please write in the space provided the name of the person who has seen the evidence of the applicant's identity and completed the details of this section.

Please note that **only a Registered Person** (i.e. the Lead Countersignatory or Countersignatory within W & P Assessment and Training Centre) may complete Section Y.

End of document