UCQ
UNIVERSITY
CENTRE QUAYSIDE

Appendix I: DBS and Barred List Checks

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1. Purpose and content

1.1 The purpose of this appendix of the Safeguarding Policy is to provide a clear set of guidelines regarding UCQ's approach to Disclosure and Barring Service (DBS) checking within the statutory framework.

2. Scope

2.1 The Safeguarding Policy has been developed in line with statutory guidance and the locally agreed inter-agency procedures. The policy applies to all students and all staff (including agency, visiting, associate and hourly paid staff) irrespective of anyone's position or role within UCQ, together with Academic Council members and any workers who are at UCQ on a voluntary/placement/other professional basis.

2.2 The term 'staff' is used as a generic term that encompasses all groups of workers as outlined in the paragraph above.

3. DBS checks

3.1 DBS checks enable organisations to make safer recruitment decisions by identifying those who may be unsuitable for work with children and/or vulnerable adults. UCQ deems itself to be a 'specified place' in line with the Department for Education (DfE) September 2025 statutory guidance; 'Keeping children safe in education' and as such the appointment of all UCQ staff is subject to a satisfactory enhanced DBS check.

3.2 The enhanced DBS check will include a check of the barred lists and will show all offences not filtered under the Rehabilitation of Offenders (ROA) Act 1974 (Exceptions) Order 1975 (as amended in 2013). A DBS check is necessary because UCQ staff may have the opportunity to be in contact with children and/or vulnerable adults.

3.3 If a staff member commits an offence **after** an initial DBS check has been carried out, the staff member **must** report the incident to the Vice Principal as soon as possible. A new DBS check may need to be undertaken.

3.4 If the DBS disclosure certificate shows evidence that the individual is potentially a risk to children and/or vulnerable adults, UCQ reserves the right to withdraw any offer of employment/volunteering opportunity or an offer of a place on a course that requires the person to work with children and/or vulnerable adults. Decisions will be made considering the seriousness, date and circumstances relating to the offence/s. Minor offences of a non-safeguarding nature committed some time ago will be considered to have little or no bearing on whether the individual is suitable to work with children or vulnerable adults.

3.5 More serious offences (e.g. those involving sex, violence, terrorism or the supply of drugs) may give rise to a reasonable belief that the individual is a potential risk to children or vulnerable adults.

3.6 Where concerns are identified UCQ may look to gain more information from the individual before making a decision. Final decisions for staff will be by the Principal & CEO in consultation with the Strategic Safeguarding Lead. Decisions for students will be made by

Designated Safeguarding Leads and/or Safeguarding Risk Assessment Panel. This is normally chaired by the Strategic Safeguarding Lead.

3.7 Further details for staff and volunteers are outlined in the Safer Recruitment Policy (Appendix G) and for students in the Safeguarding Risk Assessment Panel (Appendix A) of the Safeguarding policy.

3.8 Risk Assessments for Safeguarding

Where a DBS certificate or other pre-employment check is delayed, incomplete, or reveals information that may require further consideration, UCQ will undertake a thorough risk assessment before allowing any individual to commence work or volunteering. The risk assessment will consider the nature of the role, level of supervision, the seriousness and relevance of any disclosed information, and any mitigating factors. Appropriate safeguards, such as increased supervision or restricted duties, may be put in place until all checks are satisfactorily completed. This process ensures that the safety and welfare of children and vulnerable adults remain paramount at all times.

4. DBS update service

4.1 The DBS update service allows applicants to keep their DBS certificates up to date and allows employers to check a DBS certificate periodically. UCQ staff are advised to register for the DBS update service within 28 days of their DBS certificate date. The cost of registration will be reimbursed. After 28 days from the DBS certificate date, applicants will be unable to register with the update service. This will result in the individual obtaining a new enhanced DBS check within three years. The update service is checked once per quarter to ensure no changes to status.

5. Single Central Record

5.1 The Strategic Safeguarding Lead (SSL) and HRM maintains a Single Central Record (SCR) of employment checks for staff appointed by UCQ. The reference number and date of a DBS certificate will be recorded on this record.

6. Staff from outside the UK or who have worked abroad

6.1 Staff from overseas, or those who have spent a period of time (e.g. 3 months+) in the last 10 years overseas, may be subject to additional checks as considered appropriate. Such additional checks may include certificates of good conduct or checks of foreign police records. If these are unavailable (it is not possible to obtain these checks in every circumstance) UCQ will pursue other avenues, such as additional references, so that safer recruitment is achieved.

6.2 UCQ reserves the right to vary these parameters in a given situation, e.g. where an applicant worked abroad for a limited period of time or over 10 years ago. In particular, where this work has been in certain settings (e.g. a children's home or hospital) UCQ may make such additional checks as it deems appropriate.

7. People who do not require a DBS Check

7.1 All visitors to UCQ must report to reception and sign in upon arrival and out upon leaving the premises. Visitors who are accompanied by a member of staff at all times are not required to have a DBS check.

8. Work experience placements – employer DBS checks

8.1 The Department for Education (DfE) advise that DBS checks are not required to be carried out by a learning provider on staff within the organisation providing work experience placements. UCQ is, however, committed to ensuring that all reasonable precautions have been taken to ensure students under the age of 18 in placement are safe. For this reason, the following principles must be applied:

8.1.1 The employer should not be a Sole Trader

8.1.2 The employer should be able to provide supervision of an adequate nature to the student on work experience. This would normally mean more than one member of staff was on hand at all times.

8.1.3 If there is a potential that an individual member of staff will be working closely with a student under the age of 18 over an extended period of time, the employer should look to mitigate the risk, and if this is not possible, the employer would need to comply with 'regulated activity' DBS requirements and carry out an enhanced DBS check.

8.2 The Education and Skills Funding Agency (ESFA) information on funding 16 to 19 study programmes, incorporating work experience is available at https://www.gov.uk/government/publications/16-to-19-study-programmes-guide-for-providers

9. Referrals to the Disclosure and Barring Service

9.1 If a member of staff in regulated activity has been dismissed or removed due to safeguarding concerns, or would have been removed had they not resigned, UCQ will make a referral (either online or paper based) to the Disclosure and Barring Service (DBS).

9.2 The referral will be made by the Strategic Safeguarding Lead (SSL). If the SSL is not able to make the referral, the Principal/CEO will make the referral.

9.3 The Referrer should use the following link to make a referral to the DBS: https://www.gov.uk/government/publications/dbs-referrals-form-and-guidance

10. Training and communication

10.1 All staff will receive annual safeguarding training. Staff and students are invited to review the wealth of resources available on UCQ's safeguarding, Prevent and wellbeing page, available at https://ucq.ac.uk/safeguarding-and-prevent/

10.2 Ongoing support will be provided by the Safeguarding Team. This appendix will be made available on the UCQ website for all staff and stakeholders to access.

11. Review and revision

11.1 This appendix to the Safeguarding Policy will be reviewed annually, or earlier as required to ensure best practice.

12. Document history

ISSUE NO.	DATE	PAGE	REVIEWER	DETAIL OF AMENDMENT
07	02/02/2024	3, 5, 6	Tara Henderson	Periodic review conducted. Web links checked to ensure currency. Appendix revised to fit recommended document template as specified in quality procedure QP02. Sections 2, 10, 11 & 12 added. Paragraph numbering updated.
08	31/01/2025	4	Michelle Elliott	Periodic review conducted. Web links checked to ensure currency. Section 5.1 amended to provide clarity.
09	30/01/2026	All	Michelle Elliott	Periodic review conducted. 3.8 added re risk assessment in the event of a delay in receiving DBS. Links checked.

13. Initial equalities impact assessment

Department: All	**Completed by:** Tara Henderson, Head of Policy & Governance	**Date of initial assessment:** 22/03/2021
Area to be assessed:	SA-002 Appendix I – DBS and Barred List Checks	
Existing or new policy/procedure:	Existing	
What evidence has been used to inform the assessment and policy? (please list only)		
External guidance and requirements: ➢ Rehabilitation of Offenders (ROA) Act 1974 (Exceptions) Order 1975 (as amended in 2013 ➢ Department for Education (DfE) September 2020 statutory guidance; 'Keeping children safe in education' ➢ Education Funding Agency information on funding work experience in 16 to 19 study programmes ➢ Disclosure and Barring Service (DBS) ➢ **Internal guidance and requirements:** ➢ Consultation with Strategic Safeguarding Lead		

1. Describe the aims, objectives or purpose of the policy/procedure		The purpose of this appendix of the Safeguarding Policy is to provide a clear set of guidelines regarding UCQ's approach to Disclosure and Barring Service (DBS) checking within the statutory framework.		
2. Which stakeholders/groups are intended to benefit from this policy/procedure?		All stakeholders		
The Equality Act 2010 requires public bodies to have 'due regard' to the need to:- (1) Eliminate unlawful discrimination, harassment and victimization (2) Advance equality of opportunity between different groups; and (3) Foster good relations between different groups		**3. Could the policy/procedure have a disproportionately negative effect impact in terms of the aims set out in (1) to (3) of the Act on any of the protected characteristics?:-** **High** **Medium** **Low** **No effect**	**4. Briefly explain how the policy/procedure furthers or prevents the aims set out in (1) to (3).**	**5. If there is a disproportionately negative impact on any protected characteristics, can it be justified on the grounds of promoting equality or any other reason? If yes, please explain.**
Protected characteristics	**Age**	No effect	Not applicable	Not applicable
	Disability	No effect	Not applicable	Not applicable
	Gender	No effect	Not applicable	Not applicable
	Gender reassignment	No effect	Not applicable	Not applicable
	Marriage and Civil Partnership	No effect	Not applicable	Not applicable
	Pregnancy and Maternity	No effect	Not applicable	Not applicable
	Race	No effect	Not applicable	Not applicable
	Religion or Belief	No effect	Not applicable	Not applicable

	Sexual Orientation	No effect	Not applicable	Not applicable

6. Has there been any consultation/engagement with the appropriate protected characteristics?		Not applicable as no negative PC impact identified
7. What action(s) will you take to reduce any disproportionately negative impact, if any?		None required
8. Based on the information in sections 1 to 7, should this policy/procedure proceed to Full Impact Assessment? (recommended if one or more 'High' under section 2)		No
Assessor signature:	**Approved by:** **Michelle Elliott**	**Date approved:** 23/04/2021