

AT1 Guidance

1. Document Purpose

The purpose of this document is to provide guidance on how to interpret the AT1 for your Disclosure Unit. It also includes a completed example for illustration purposes.

2. Background

2.1.1.

The AT1 for your Disclosure Unit should accurately reflect all system searches performed by your Disclosure Unit and the search criteria/strings used in all those searches.

2.1.2.

The AT1 is also where your Disclosure Unit may record specific local disclosure practices (Force Specific Policies) i.e. where your Chief Officer has risk assessed and determined that he/she would never consider disclosing certain types of information in specific circumstances. Inclusion of such local practices, with clear detail and guidance to your Unit staff, negates the need to process such information through QAF every time (in effect, such information has already been risk-assessed and has been deemed 'Not Relevant for Disclosure'. Such information would only relate to activity of a nature that presents no risk to the vulnerable (see 3.1.10). The use of such policies, however, should never remove the need to apply reason and common sense – if a piece of information appears to be an exception to the rule, it should be retained for further consideration (and the policy should be reviewed and, if necessary, revised).

2.1.3.

This document is held by your Disclosure Unit and is logged with the Standards and Compliance Unit (SCU). During a Compliance Visit, SCU will compare the logged AT1 with the version in use at the Unit. Use of any version other than the one logged with SCU will be considered a compliance failure. You must use the most up-to-date AT1 version template.

2.1.4.

For reference, you are required to provide SCU with an amended AT1 whenever:

- your search processes change or
- you begin searching a new system/database or
- you cease searching any existing system/database or
- when your Force Specific Policies are changed or
- you change your logged AT1 in any other way

3. How to interpret the AT1

3.1. General Guidelines

3.1.1.

Refer to the example AT1 in Section 4 of this document when following the text below.

3.1.2.

The table in Section 1.1 of the example AT1 is populated with 'dummy' examples of the searches undertaken in order to find information about the applicant in a fictitious Disclosure Unit.

3.1.3.

The table in Section 1.2 of the example AT1 is populated with details for undertaking further information gathering which may be required, in certain circumstances, to either:

- Determine whether an applicant hit found during one of the system searches undertaken in section 1.1 is potentially relevant or not (i.e. within section 1.1 potential relevance will be determined using the Method Products (MPs). This bullet relates to those instances where you cannot answer a question within the MP flow without further information).
- Ensure that enough information is provided to the risk assessor to enable the risk assessment for a potentially relevant hit for the applicant.

3.1.4.

The types of information sources to be included in section 1.2 include, for instance,; Case Files, Officer in Case, Child Protection Unit, Social Services, Courts etc.

3.1.5.

The table in Section 2.1 of the AT1 is populated with the IT system searches undertaken in order to find information about third parties.

3.1.6.

The table in Section 2.2 of the AT1 is populated with any further information-gathering required to either;

- Decide if a third party hit, found during one of the system searches, is potentially relevant or not (i.e. within section 2.1 potential relevance will be determined using the Method Products. This bullet relates to the circumstances where you cannot answer a question within the MP flow without additional information.).
- Ensure that enough information is provided to the risk assessor to enable the risk assessment for a potentially relevant hit for a third party.

3.1.7.

Sections 1.2 and 2.2 include any prioritising instructions. For example, if in your Unit it is more effective to ask the Officer in Case for additional information than it is to request the Case File, this should be stated here.

3.1.8.

It is anticipated that the items relating to PNC searches in the example AT1 will be standard for all Disclosure Units.

3.1.9.

The search criteria includes instructions specific to your force, which cater for potential name misspellings, sound-a-like searches, the fact that some forenames and surnames are interchangeable or that it is difficult to identify which is which.

3.1.10.

The table in Section 3 – ‘*Force-Specific Policy towards Offences / intelligence*’ must be completed to record any force-specific policies/exceptions that your Chief Officer has risk assessed and deemed appropriate within your Disclosure Unit.

For example, if your force had risk assessed ‘possession of Cannabis for personal use’ as a non-relevant offence, in certain circumstances (an offence that Chief Officer would never disclose), it can be recorded in Section 3, meaning occurrences of this offence may be treated as Not Relevant - No Audit Trail Required.

In short, such offences have already been risk assessed and deemed not relevant for disclosure by the Chief Officer of the force in question.

3.2. What does each column mean?

3.2.1.

The following provides a description of the content of each of the columns in the proforma tables;

- **No.** – A unique number, starting with 1, and rising by increments of 1.
- **Information Source** – The name of your system or information holders.
- **Search criteria used** – The criteria/search strings that are used to perform the search or, in the case of additional information requests, the details that need to be provided with the request and any media-type instructions (e.g. “request via email”; “use form V12” etc...).
- **When searched** – The conditions that need to exist for you to undertake the search. This may simply contain the “**Always**” if appropriate.

3.2.2.

Examples should be included within the ‘Search Criteria Used’ to provide clarity for the user undertaking the search.

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4. Example AT1

Section 1 – The following searches should be undertaken in respect of the applicant

Section 1.1 – System searches (record of systems to be searched)

No	Information Source	Search Criteria Used	When searched								
1	PNC	Use the PNC ID supplied on the LPF Search Request.	If a PNC ID is included on the LPF Search Request.								
2	System 1	<p>Search using the Date of Birth, Surname and the 1st 3 characters of the Forename, for each name (i.e. Current name, Other Name(s), and Alias Name(s)) and Date of Birth combination (i.e. current Date of Birth and PNC Alias Date of Birth) on the LPF Search Request.</p> <p>For example, if the following are supplied on the LPF Search Request: Current Date of Birth: 20/04/82 Current name: HELEN JANE SMITH Other name: HELEN JANE JONES Alias Date of Birth: 20/04/83</p> <p>The following searches must be undertaken:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">20/04/82, SMITH, HEL</td> <td style="width: 50%;">20/04/83, SMITH, HEL</td> </tr> <tr> <td>20/04/82, SMITH, JAN</td> <td>20/04/83, SMITH, JAN</td> </tr> <tr> <td>20/04/82, JONES, HEL</td> <td>20/04/83, JONES, HEL</td> </tr> <tr> <td>20/04/82, JONES, JAN</td> <td>20/04/83, JONES, JAN</td> </tr> </table>	20/04/82, SMITH, HEL	20/04/83, SMITH, HEL	20/04/82, SMITH, JAN	20/04/83, SMITH, JAN	20/04/82, JONES, HEL	20/04/83, JONES, HEL	20/04/82, JONES, JAN	20/04/83, JONES, JAN	Always
20/04/82, SMITH, HEL	20/04/83, SMITH, HEL										
20/04/82, SMITH, JAN	20/04/83, SMITH, JAN										
20/04/82, JONES, HEL	20/04/83, JONES, HEL										
20/04/82, JONES, JAN	20/04/83, JONES, JAN										
3	System 2	<p>Search using the Surname and the full Forename, for each name (i.e. Current name, Other Name(s), and Alias Name(s)) on the LPF Search Request.</p> <p>For example, if the following are supplied on the LPF Search Request: Current name: HELEN JANE SMITH Other name: HELEN JANE JONES</p> <p>The following searches must be undertaken:</p>	Always								

		SMITH HELEN SMITH JANE JONES HELEN JONES JANE	
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Section 1.2 - Where additional information is required in support of potentially relevant traces found in respect of the Applicant

No	Information Source	Search Criteria Used	When searched
4	Officer in Case	Request the information you require by email using form 1234 , ensuring that the following are included; <ul style="list-style-type: none"> - Case Reference Number - Include Surname / Forename(s) / Date of Birth - A description of what you require. 	If you require additional information in order to make one of the decisions on the MP2 or MP3 method, and you judge that the Officer in Case will be the best source of this information. OR If you are forwarding the case for risk assessment, gather additional information from the Officer in Case for each relevant hit recorded on the AT2 for the applicant, where you consider that the information currently available is insufficient for risk assessment purposes. <i>E.g. Intelligence highlights that allegations of a sexual nature have been made against the applicant but detail is needed regarding, who made the allegation, the relationship of the applicant to the victim, the victim's age, nature of allegation, what action was taken etc.</i> <i>Note: Ensure that all information received from the Officer in Case is recorded in the application folder.</i>
5	Case File	Request by email using form 3456 , ensuring that the following are included; <ul style="list-style-type: none"> - Case File Reference Number - Include Surname / Forename(s) / Date of Birth 	If you require additional information in order to make one of the decisions on the MP2 or MP3 method products, and you judge that the Case File will be the best source of this information. OR If you are forwarding the case for risk assessment, request the Case File for each relevant hit recorded on the AT2 for the applicant, where you consider that the information currently available is insufficient for risk assessment purposes. <i>Note: Use the Officer in Case to ascertain the extra information where possible. Only request the Case File where you judge this to be the most efficient method of attaining the information.</i>
6	Child	Request by email , ensuring that the	If a CPT reference is held for the applicant.

	Protection Team	following are included; Surname, Forename and or Address via ASSIST	
7	Tape Transcripts held at area	Request in writing using form 5678 , ensuring that the following are included; Tape Ref Number, Offenders' Name	<p>If you require additional information in order to make one of the decisions on the MP2 or MP3 method products, and you judge that the Tape Transcript will be the best source of this information. OR If you are forwarding the case for risk assessment, request the Tape Transcript for each relevant hit recorded on the AT2 for the applicant, where you consider that the information currently available is insufficient for risk assessment purposes.</p> <p><i>Note: Only request a Tape Transcript where the information you require cannot be attained by any other method. Your Supervisor must authorise the request for the tape.</i></p>

Section 2 – The Following Searches Should Be Undertaken For Applications Where Third Party Considerations Are To Be Made.

Section 2.1 – System searches

No	Information Source	Search criteria used	When searched
8	System 1	When links from the applicant to one or more associates/3 rd parties are held.	<p>No search necessary, simply click on the associates link for each 3rd party.</p> <p><i>Note: Examine all of the information held against each of the 3rd parties. For each item of information use MP4 to establish relevant access.</i></p>
9	System 1	For each of the addresses covered by your force, where the applicant has resided.	The House Name/Number (if held) and Street/Road Name (if held).
10	System 1	For each 3 rd party identified as a result of an address search (i.e. search 9), where the 3 rd party is not linked to the applicant as an associate, and you judge that the 3 rd party may have relevant access to the vulnerable.	Search using the Surname and each full Forename of the 3 rd party.

			For example, if the 3 rd party is know as PETER JOHN GRIMES, the following searches must be undertaken: GRIMES PETER GRIMES JOHN
11	System 2	For each 3 rd party identified as a result of an address search (i.e. search 9), where the 3 rd party is not linked to the applicant as an associate, and you judge that the 3 rd party may have relevant access to the vulnerable.	Search using the Surname and the first full Forename of the 3 rd party. For example, if the 3 rd party is know as PETER JOHN GRIMES, the following searches must be undertaken: GRIMES PETER
12	PNC	For each 3 rd party identified where you judge that the 3 rd party may have relevant access to the vulnerable.	Search using the PNC ID of the 3 rd party if available from the local information, otherwise using the Surname and Forename of the 3 rd party. <i>Note: Use MP6 to establish the potential relevancy for all Third Party PNC information</i>

Section 2.2 – Where additional information is required in support of the potentially relevant traces found in respect of Third Parties

No	Information Source	Search criteria used	When searched
13	Officer in Case	<p>If you require additional information in order to make one of the decisions on the MP4, MP3 or MP2, and you judge that the Officer in Case will be the best source of this information.</p> <p>OR</p> <p>If you are forwarding the case for risk assessment, gather additional information from the Officer in Case for each relevant hit recorded on the AT2 for a 3rd party, where you consider that the information currently available is insufficient for risk assessment purposes.</p> <p><i>E.g. Intelligence highlights that allegations of a sexual nature have been made against the 3rd party but detail is needed regarding, who made the allegation, the relationship of the applicant to the victim, the victim's age, nature of allegation, what action was taken etc.</i></p>	<p>Request the information you require by email using form 1234, ensuring that the following are included;</p> <ul style="list-style-type: none"> - Case Reference Number - Include Surname / Forename(s) / Date of Birth - A description of what you require.

		<i>Note: Ensure that all information received is recorded in the application folder.</i>	
14	Case File	<p>If you require additional information in order to make one of the decisions on the MP4, MP3 or MP2, and you judge that the Case File will be the best source of this information.</p> <p>OR</p> <p>If you are forwarding the case for risk assessment, request the Case File for each relevant hit recorded on the AT2 for a 3rd party, where you consider that the information currently available is insufficient for risk assessment purposes.</p> <p><i>Note: Use the Officer in Case to ascertain the extra information where possible. Only request the Case File where you judge this to be the most efficient method of attaining the information.</i></p>	<p>Request by email using form 3456, ensuring that the following are included;</p> <ul style="list-style-type: none"> - Case File Reference Number - Include Surname / Forename(s) / Date of Birth
15	Child Protection Team	If a CPT reference is held for the 3 rd party.	<p>Request by email, ensuring that the following are included;</p> <p>Surname, Forename and or Address via ASSIST</p>
16	Tape Transcripts held at area	<p>If you require additional information in order to make one of the decisions on the MP4, MP3 or MP2 method, and you judge that the Tape Transcript will be the best source of this information.</p> <p>OR</p> <p>If you are forwarding the case for risk assessment, request the Tape Transcript for each relevant hit recorded on the AT2 for a 3rd party, where you consider that the information currently available is insufficient for risk assessment purposes.</p> <p><i>Note: Only request a Tape Transcript where the information you require cannot be attained by any other method. Your Supervisor must authorise the request for the tape.</i></p>	<p>Request in writing using form 5678, ensuring that the following are included;</p> <p>Tape Ref Number, Offenders' Name</p>

Section 3 – Force Specific Policies

This section should be used to record policies specific to your force. Your chief officer must have risk assessed and authorised all such policies. It is advisable to retain a written record of the chief officer's authorisation. Should there be a change in your chief officer, the new chief officer should review these policies and authorise them again, in their name, if they are to continue to be force policy.

Policy Exception number	Description	Date implemented
1		
2		
3		
4		