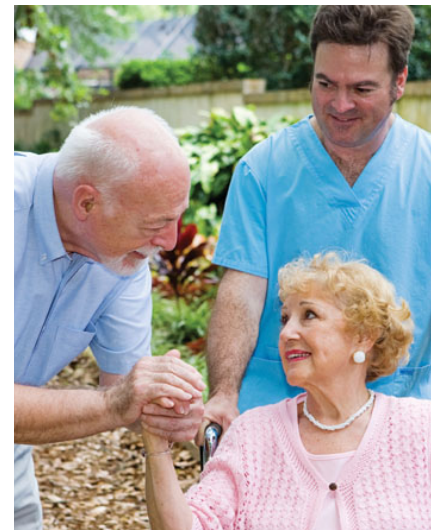




Disclosure &
Barring Service

Strategic Plan 2014 – 2017

Corporate Plan 2014 – 2015



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Chair and Chief Executive's Foreword

Disclosure and Barring Service (DBS) is first and foremost a delivery body for government policy on disclosure and barring functions. We recognise the expectations of Home Office (HO) ministers and the wider government agenda. In carrying out our responsibilities we are committed to providing an expanded and enhanced service in order to help government achieve its objectives.

During our first year of operation, we have concentrated on maintaining customer focus during several big changes to the way we work and to the services we provide.

We have:

- Brought together our two legacy organisations to work as one and restructured our corporate centre in Liverpool
- Launched the Update Service and the new filtering protocols
- Transferred to a new strategic IT and BPO provider

Our biggest challenge is the need to transform our operations and corporate support functions to reflect modern professional standards, to make the services we provide more accessible to the public, and to improve value for money. We will ensure that the way we manage the service is as transparent as possible.

We value our constructive working relationship with, and support of, HO ministers and the DBS Sponsorship unit officials. This has allowed a new strategic direction to be jointly developed from a single shared ambition for our future. We hope to gain additional autonomy in areas such as recruitment, and move to clarity on risk management with the HO, during the course of this plan.

Over the next three years, we look forward to developing our capabilities, widening our activities and achieving our potential as a new Centre of Excellence in our field.

We continue to develop and modernise our core products and will also see our business diversify quickly. We will make things easier for our customers and position ourselves as the experts for suitability information in response to government needs. This will be done by concentrating on quicker policy-to-delivery capability, new digital systems and a more agile workforce.

We have strong ambitions for the future and, with our new systems, feel confident in being able to deliver the extended services to meet government's needs. Our Board and our staff fully support this agenda, and stand ready to make it a reality.

This plan sets out how we will undertake the functions of the DBS over the next year, and incorporates this in the wider analysis of our strategic ambitions and objectives over the next three years. It includes major developments of systems, service and human resources. We have also set out the financial basis for the plan.



Adrienne Kelbie
Chief Executive

A handwritten signature in black ink that reads "A Kelbie".



Bill Griffiths
Chair

A handwritten signature in black ink that reads "Bill Griffiths".

Introduction

This Strategic Plan, incorporating the one year Corporate Plan for 2014-15, sets out the nature of the functions that the DBS performs on behalf of government. It also looks at these functions over the subsequent three year period, and details how the DBS will expand and develop on these functions to support government.

Who we are and what we do

Purpose

We protect the public by ensuring that balanced suitability decisions are made on the right information

Mission

To be government's Centre of Excellence for suitability information

We were established under the Protection of Freedoms Act 2012 to operate disclosure and barring functions on behalf of government. We are a Non-Departmental Public Body (NDPB) sponsored by the HO, reporting to HO ministers. With 750 staff, DBS operates from two sites, Liverpool and Darlington.

Our functions are those contained within Part V of the Police Act 1997, the Safeguarding Vulnerable Groups Act 2006 and the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007, and Protection of Freedoms Act 2012.

We are led by a Board which is responsible for strategic leadership of the organisation and has collective responsibility for the proper conduct of DBS affairs. This role can be summarised as: direction, monitoring and control, assurance and propriety. The Board comprises of a Chair and executive and non-executive members.

We provide information to employers and other organisations so they can make informed decisions. We help prevent unsuitable people from working with children and vulnerable groups by:

- Maintaining two lists of people barred from engaging in regulated activity with children (the children's barred list) and adults (the adults' barred list)
- Reaching decisions as to whether persons should be included in one or both barred lists or whether to remove persons from a barred list
- Issuing two levels of criminal record certificates (also known as 'disclosures'): Standard and Enhanced
- Operation of the criminal records Update Service
- Maintaining a register of organisations permitted to submit applications for certificates
- Sharing our learning with policy makers and practitioners

We also provide specific services, within the legislative framework, such as the provision of criminal record information to the US Embassy in respect of the suitability of those working on the building of the new London Embassy site.

Corporate governance and accountability

Our governance structure ensures we can undertake our statutory functions effectively and appropriately. The Board operates under a Board Constitution and the functioning of the Board and its four committees, and performance of Board members, are subject to annual review.

Our stakeholders

We value the benefits gained from open, honest and constructive working relationships with stakeholders. We want to develop relationships with new customers, applicants and potentially private sector business.

We will also want to re-position our relationship with the media, to be recognised as a transparent and effective operator in an area of intense public interest.

The primary groupings of DBS stakeholders are:

1. Government – including HO, Department of Health (DH), Department for Education (DfE), Ministry of Justice (MOJ), Cabinet Office, Welsh Government, Northern Ireland (NI) Assembly, Scottish Government, Jersey/Guernsey and Isle of Man Governments, Upper/Care Tribunal
2. Suppliers/Partners – Registered Bodies (RBs), professional bodies, police, Tata Consultancy Services (TCS), Fujitsu, Skyscape, HO IT, Disclosure Scotland, Access NI, HO DBS sponsor team
3. Customers – Disclosure applicants, Registered Bodies, employers, referrers, referred and barred individuals, professional bodies (keepers of registers, supervisory authorities), new customers
4. Media – press, trade, professional and social media
5. Influencers – general public, commentators and opinion formers.

We want to engage stakeholders to meet their needs and in turn to become advocates of our strategic ambition.

Our relationship with the police

The police undertake an important function, clearly defined within legislation. We have a key dependency on the police who work across the 52 UK police forces and law enforcement agencies (including those in Jersey, Guernsey and the Isle of Man).

Individual forces take important decisions on relevancy of information for inclusion on Enhanced certificates; provide information to inform our barring decisions; and are accountable for the integrity of information held on the Police National Computer (PNC) and linked systems.



Our relationship with professional bodies

Professional bodies (keepers of registers and supervisory bodies) have duties to refer information to us. We are reliant on the efficacy of their processes to identify when to make a referral and on the quality and timeliness of referrals.

Our relationship with government

The HO lead on sponsorship of DBS through policy responsibility for safeguarding. This is supported by ministers who are accountable to Parliament for the work of the DBS. The relationship between the HO and DBS is defined in a framework document.

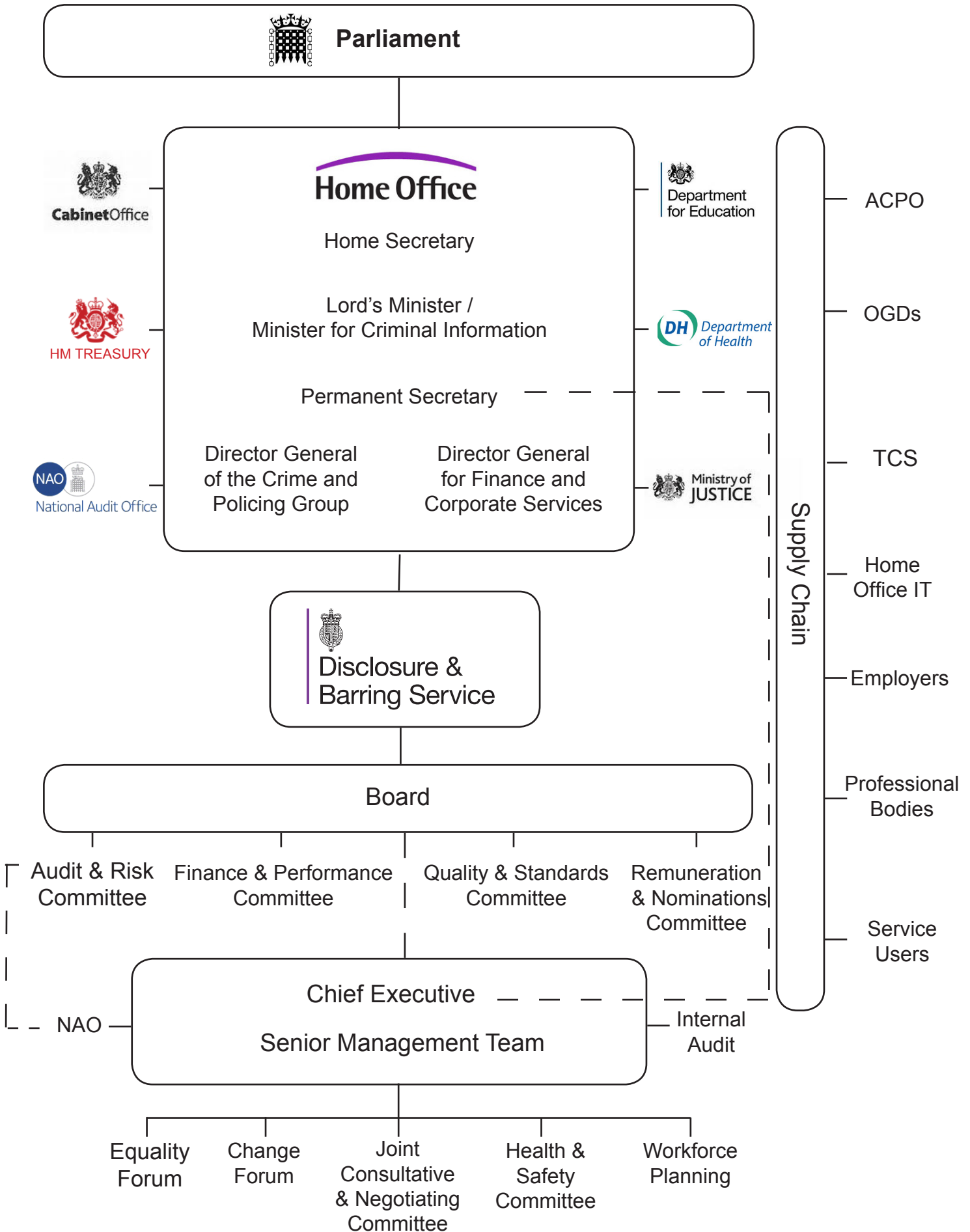
The HO, representing the government, wants to ensure that their policy responsibilities are implemented and operated appropriately, with all due regard to ensuring effective and responsible public service, based on value for money principles. This will include ensuring that sound processes are in place to effect the government's safeguarding policy responsibilities in the form of the barring provisions, to ensure that unsuitable individuals are barred from regulated activity with vulnerable groups, including children. The HO is supported by the DfE, who have policy responsibility for children, and the DH who have policy responsibility for vulnerable adults.

The DBS service provision reaches most government departments and bodies, as well as the wider public, private and voluntary sector. This is a key factor that we recognise and have due regard to in the service provision of DBS, and through our staff who have a strong sense of pride and enthusiasm for the importance of the work that we do.

Our relationship with the public

We are proud to serve the public, and want interested people to understand and appreciate our role, as an integral part of governmental public protection services.

Our relationship with government



Service provision

We deliver statutory disclosure and barring functions on behalf of government. This includes the Update Service.

Launched last year, the Update Service enables individuals to keep their DBS certificate up to date, without having to pay for repeat certificates. The Update Service will undertake checks against relevant data sources automatically, and sends the individual a notification if something changes. Employers can check the status at any time, subject to the applicant's consent.

Since a new certificate is required only when status changes, this should avoid unnecessary bureaucracy and reduce cost. We want to offer this way of working across many new services.

In general, risks to our service provision lie largely with third party suppliers over whom we do not have direct control, such as the police (who experience backlogs from time to time due to variations in demand) and keepers of registers (whose operations vary).

Our IT solution modernisation will present a significant challenge as we have changed our main outsource provider from Capita to TCS, and substantially change our way of working, and as our staff take time to become familiar with a new system. We have made every effort in the period leading up to the transfer in provider to avoid disruption in the subsequent period. During 2015-16 we plan a more significant modernisation to systems and processes, and will also take great care similarly to avoid customer service disruption during the transition.

We will also work hard to recognise the needs of each customer for each modernisation step and each new service or product we provide. Delivering multiple products will demand the highest standards of information management, operational flexibility, and financial planning.

Performance measurement

We work to a set of challenging performance measures. They reflect outcomes, efficiency and timeliness, accuracy and value for money, recognising that all are required for us to do our job well. Quality will always be our over-riding concern given the impact of the services we deliver.

A review of performance measures (previously Published Service Standards (PSS) and Key Performance Indicator (KPI) has been undertaken, taking into account performance in 2013-14 and the need to align legacy measures where there was duplication. The principles of the review were that performance measures would align directly with strategic objectives and strategy ambitions.

It is important to us to ensure that performance measures are limited in number but meaningful to:

- Customers (both internal and external, fee payers, referrers and referred)
- Supply Chain (Business Process Outsourcing (BPO), Police, Registered Bodies)
- Government

The table (page 8) shows the framework of how performance will be measured over the 3 year period of the plan. The measurements (shown for 2014-15) will be reviewed and amended each year, to reflect improvement; the framework will remain consistent for the period.

Performance measurement

Driver	Proposed Measure	Links to Objective	How will this be Measured	
			For 14-15	By the end of the 3 year strategy
Public Safety	Does the DBS make a difference to public safety by helping to make effective employment and other decisions? [This will be an employer view]	1, 2, 3	Customer questionnaire establish baseline Practicality may dictate that we cannot commence the year without a target in this area	Customer questionnaire % Rate and improvement on last year
Customer Satisfaction	Are you satisfied with the service you receive from DBS? [Employer view]	1, 2, 3	Customer questionnaire establish baseline Practicality may dictate that we cannot commence the year without a target in this area	Customer questionnaire % Rate and improvement on last year
Timeliness	Turnaround time for the issue of Disclosure certificates and Barring decisions	1, 3, 4	88% Disclosures issued in 40 working days 65% Barring cases concluded in 63 working days	Improved performance
Accuracy	Accuracy of disclosure and barring processes	1, 2, 3	99.98% Disclosure certificate accuracy 99.9% Barring process case accurately	Improved performance
Value for Money	Performance against the plan This may be expressed in different ways <ul style="list-style-type: none"> • More disclosure and barring decisions at the same quality for the same cost / price • The same number of disclosure and barring decisions of better quality at the same cost / price • The same number of disclosure and barring decisions at the same quality but a lower cost / price 	2, 3, 4	Have we done what we said we would when we said we would do it at the pre-determined price and costs for our products	Year on year comparison of unit cost on a like for like basis including any changes in quality standards. This will be dependant upon which product is being measured.

Performance measurement continued

We recognise that our customers want a quality product or service but also want this to be undertaken efficiently and without delay. We balance this against our fee level. The DBS receives no government grants, and has been entirely funded by fees for criminal record checks. In future, we need to ensure appropriate cost recovery across all of our products.

We believe that we have achieved this balance through the setting of the new performance targets, but recognise the need to constantly review and reflect on these and importantly to be aware of the impact that service partners such as the police can have on our ability to meet these service standards.

It is evident that the introduction of new technology will affect our delivery, positively, and so we will review the impact on our standards in 2015-16. We will continue to pursue the highest standards of performance, through ISO 9001 accreditation across our Operations and the Customer Service Excellence quality mark.

Police performance standards

We understand and recognise the importance of the police in the delivery of the DBS service and we value the constructive relationship that we have with them. Our delivery model is particularly reliant on the performance of individual police and law enforcement disclosure units.

Like many organisations, their ability to undertake the functions can be hindered by poor IT and infrastructure, as well as issues such as staff retention and the availability of suitable accommodation. Given that DBS demand fluctuates according to customer demand, there can also be difficulties for police in responding to volume peaks, which can lead to backlogs and delays.

DBS looks forward to potential optimisation of disclosure units through both technological and infrastructure developments, but recognises that this is a matter that will be led by or for the police. This should lead to improved service provision to support DBS functions.

Technology and infrastructure

At present, we are using legacy systems which are dated and need upgrading. We are therefore developing a new solution with our commercial IT provider, TCS, to deliver a single IT system which will allow staff to work seamlessly across our sites, manage cases faster, deliver improved turnaround times for data matching, and offer a web portal.

This will assist us to work with less paper and so reduce cost and risk. The new system should also allow us to develop new products and services quickly and easily, significantly speeding up policy-to-delivery timescales.

A web portal, in particular, will prove invaluable to those who refer large amounts of paper to us, whilst allowing us to issue digital certificates and notifications. For our service users, it will simplify authentication and offer on-line payment facilities. We are conscious of risks relating to cyber security, and data integrity assurance is a critical factor in this project.

Update Service

The development and launch of the Update Service was a significant service development for DBS. This major government commitment enabled portability of certificates, most suited to people in peripatetic and/or low paid roles where the cost of multiple certificates could be prohibitive and for those in roles that require work with multiple employers, such as locum doctors and supply teachers. The Update Service is used by those both in paid employment and volunteer positions.

The Update Service is the first government service which continually checks and updates criminal record data, removing financial and administrative burdens on employers and workers alike, and improving safeguarding.

Digital service provision

We will embrace digital service provision in our service enhancements and new service provision. Already over 55% of our applications for certificates are submitted electronically, this represents over 2 million transactions per year and the Update Service is fully electronic service.



The next three years

We recognise that we deliver public services to meet customer needs and our foremost priority will be continued service excellence in the operation of our statutory functions. However the services that we offer and the sectors that we deliver to, have many varied and changing needs. This poses a key and important challenge: how do we adapt to the changing needs of service users?

We want to build upon our reputation of being a body that is able to effectively handle opportunities and challenges. Importantly, we want to be an organisation that recognises the fact that what we deliver, how we deliver and who we deliver to, requires us to be more agile, and responsive to changing requirements.

DBS strategic ambition

“ To enhance and expand DBS service provision to be government’s Centre of Excellence for suitability information ”

The HO wants to offer the DBS service provision across government, for delivery of other disclosure and barring related services. DBS recognises these requirements. To deliver them DBS will need to be able to flex to changes in government policy, or changes that come about through challenges to policy by the courts – we have confidence in our ability to do this. We believe that we have a set of strong and unique selling points that underpin our strategic ambitions. These are:

- Largest user and supplier of criminal information
- Effective decision making processes, particularly in the area of barring
- Technical capability to provide bespoke and bulk information services
- Ability to provide updates of criminal record-related information
- Deliverer of quality products
- A trusted government body
- Supported by an appropriate and effective legislative framework

“ Government wants to ensure that services provided by the DBS are efficient and responsive. They want to optimise the DBS technical capabilities to maximise the use of the technology and skills within DBS ”

Government strategic ambition for DBS

Strategic objectives

The combined strategic ambition of the DBS and government will be delivered through four strategic objectives.

1 Deliver excellent customer satisfaction

2 Retain the confidence of government

3 Create a strong performance culture

4 Manage public funds efficiently

The objectives will define and shape the strategic development that we pursue and ensure that the service we provide is more flexible and responsive to changes in government policy and provides bespoke services to government where necessary. Our approach will be deliberately incremental.

We plan three main categories of strategic development that will be pursued over the next three years:

Criminal information provision

This will entail the provision of criminal record and related criminality information for a range of functions, and where appropriate, will include the updating of information. This could be through the provision of criminal record certificates, the bulk checking and provision of information to those bodies that use information in undertaking their functions or in the development of bespoke or hybrid service provisions for government.

One of the major developments will be in 2016-17 when we will launch the Basic Disclosure service. We will also see the launch of a barred list check and notification service in 2015-16 and commencement of the issue of certificates for visa and immigration purposes.

We will also be working with the HO to consider the use and inclusion of overseas criminality and related information in the DBS service provision and we hope to see this advanced significantly during the period of the Strategic Plan.

Risk assessment

This will entail the provision of risk assessment services in relation to criminal record-related and other information to government. This could be through applying agreed risk assessment criteria, for example against criminal records, and based on the individual bodies' requirements, prior to releasing any information and may entail making decisions on suitability for the role or particular purpose such as licensing.

Decision making

This will entail the provision of decision making services to government, utilising our decision-making processes and functionality. This could be through undertaking other barring functionality for other sectors and purposes, based on stipulated and agreed criteria.

Assessment of new opportunities

In considering new opportunities we will use the following criteria to assess the viability of each new opportunity:

- Fit with DBS purpose and mission
- Risk to our ability to perform our statutory functions
- Whether the product is self-funding and does not require any cross subsidy
- The payback period for any investment (this should be within three years to align with a rolling three year strategy)
- Strength of the business case, and whether there is a clear agreement between DBS and the end user on the scope, quality and quantity and financial viability of the product
- Whether it utilises or can benefit from our skill base
- Whether the market volumes are predictable
- Any impact on security classifications

Strategic end states

By the end of each year, we will have reached the following end states:



How we will achieve our strategic ambition

We will achieve this ambition by development of a range of new products for new markets and changes to our structures, culture and ways of working.

Markets and products

We aim to develop:

- A Centre of Excellence for use and analysis of criminal data, particularly within government and also in broader markets
- Highly automated products
- Wider range of chargeable products
- Provision of secure on-line services



New American embassy in London

People and structure

To enable the ambition of our strategic ambitions we aim to develop:

- Support functions, minimal and cost-effective, focussed on delivery outcomes
- High calibre resource to support critical service delivery
- Optimised use of resources and assets to maximise operational flexibility and business continuity
- Capacity to respond quickly to opportunities and threats
- A commercially and financially astute organisation with a particular focus on robust market focused analysis
- Refreshed organisational design, fit for purpose with strong management and leadership
- A more mature constructive and positive relationship with trade unions that is more aligned to the organisation's delivery requirements and strategic ambitions

Financial position

The DBS operates as a self-funding body dependent on income from applications for DBS certificates to fund the whole business. Volunteers do not pay for certificates.

We are expected to make neither a surplus nor a loss, so intelligence on service volumes, which can be very volatile, and effective cost controls are critical elements of our business planning. We can only set budgets on an in-year basis, with limited ability until now to carry forward into future financial years or plan financially on a multi-year basis. We do however have a very mature demand/volume planning function, supported by a strong finance function. This allows us to plan demand volume effectively and has supported the holding of the cost for certificates.

Accountability of financial management to the Board is through the Chief Executive Officer (CEO). The Finance and Performance and the Audit and Risk committees have powers of scrutiny. We will also work closely with the National Audit Office (NAO) to allow them full and effective scrutiny of all aspects of financial management and control, which may also be through regular audits, further supported by an internal audit programme.

Whilst the current model of funding is relatively simple in accounting terms, the development of new services, new markets and new functions will create varied and differential pricing models and structures. We hold a clear position that any service provision, regardless of whether this is provided to government, the public or the private sector should be self-funding, with limited cross-subsidy, unless permitted through legislation. This complexity of pricing and funding will require the deployment of strong financial skills.

In particular, the CEO is personally responsible for safeguarding the public funds for which she has charge; for ensuring propriety and regularity in the handling of those public funds; and for the day-to-day operations and management of the DBS. In addition, the CEO ensures that the DBS adheres to the standards, set out in HM Treasury's 'Managing Public Money' guidance.

Detailed budgetary information 2014-15

Summary

Revenue	£000s
Standard Disclosures	6,031
Enhanced Disclosures	128,960
Update Service	4,036
Other income	1,427
Total income	140,453
3rd part suppliers	
Police funded	(31,088)
Outsourced services	(48,003)
Other direct costs	
Staff	(18,121)
Depreciation	(13,796)
Other	(11,831)
Central Costs	
Change staff	(4,953)
Corporate services staff	(4,004)
Finance staff	(1,404)
Other change costs	(77)
Other corporate service costs	(2,287)
Other finance costs	(2,840)
Cost of capital charge	(518)
Net surplus	227

Risks and sensitivities

We recognise that the delivery of the plan presents many varied and dependent risks. We have undertaken full consideration of our risk tolerance and appetite as it relates to delivery of the plan. In particular we have considered and reflected the need for:

- More consistent risk approach across products
- Account to be taken of industrial relations relationship to ensure that it is supportive to change, with no impact on effectiveness and morale
- Low risk on barring decisions, funding model and data integrity and security threats
- Reduce risks associated with third parties

We have defined these in a set of Strategic Risks (SR) to delivery of the plan, and linked to the Strategic Objectives:

STRATEGIC RISK	DELIVERY	OBJECTIVE
SR1	Failure to deliver modernised systems and processes in 2015-16	1
SR2	Inability of supply chain to deliver the level of service required	2
SR3	Change of government priorities or policy	2
SR4	Increased vulnerability to fraud and a breach of data-security	1, 2
SR5	Imbalance between chargeable and non-chargeable products	4

We have also defined one Strategic Issue (SI) linked to the delivery of the plan:

STRATEGIC ISSUE	DELIVERY	OBJECTIVE
SI1	Capacity and capability inadequate to support the delivery of new business	3

Monitoring and reviewing the plan

We will submit and publish Corporate Plans for the two subsequent years of the Strategic Plan (2015-16 and 2016-17) and will document developments against the Strategic Objectives and realisation of the strategic ambitions.

We will review and monitor progress against the plan on a regular basis and provide the Board with quarterly updates

Business planning activities

We have a comprehensive business planning process sitting under the plan (and Corporate Plan) which consists of an annual Business Plan detailing objectives, key deliverables and measures. This will ensure that the Strategic Objectives of the plan are planned and monitored against delivery, reporting to the SMT, Finance and Performance Committee (where relevant), Board and to directors on a functional level.

The business planning process will be supported by directorate plans and a set of relevant functional level strategies.



Glossary

ACPO	Association of Chief Police Officers
BPO	Business Process Outsourcing
CEO	Chief Executive Officer
DBS	Disclosure & Barring Service
DFE	Department for Education
DH	Department of Health
HO	HOMe Office
HOIT	Home Office Information Technology
KPI	Key Performance Indicators
MOJ	Ministry of Justice
NAO	National Audit Office
NI	Northern Ireland
NDPB	Non-Departmental Public Body
OGD	Other Government Department
PNC	Police National Computer
PSS	Published Service Standard
RB	Registered Body
SR	Strategic Risks
SMT	Senior Management Team
TCS	Tata Consultancy Services



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