



Disclosure &
Barring Service

Barring decision making process

Name:

Date of birth:

Primary reference:

Caseworker name:

Date referral received:

Final barring decision / recommendation		
	Children	V/Adults
Not Barred		
Discretionary – Relevant Conduct		
Discretionary – Risk of Harm		
Concluded at Stage:		
Circumstances of bar:		

Stage	Completed by	Reviewed by	Signature	Level	Date
1					
2					
3					
4					
5					

	Quality Assurance
Signature	
Level	
Date	

Stage 1 ~ Initial Assessment

Which of the Schedule 3/Schedule 1 powers appear to be relevant?

(Tick relevant box(es) and explain reasons)

	Test for Regulated Activity	Relevant Conduct	Risk of Harm
Children			
V / Adult			
<p><i>Brief outline of relevant conduct or risk of harm, and any evidence that the person is, has been, or might in the future engage in regulated activity:</i></p>			
<p><i>Or reasons for not proceeding:</i></p>			

Caseworker name		Date of stage 1 decision	
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Allegations or circumstances	
Summary of the evidence	Evaluate evidence

If further information was required but could not be obtained, please provide details:

If further information exists but has not been sought, please provide details:

Concluding statement about whether there is Relevant Conduct or Risk of Harm and evidence that the person is, has been, or might in the future engage in regulated activity:

	Test for Regulated Activity	Relevant Conduct	Risk of Harm
Children			
V / Adult			

Reasons for not proceeding

Protectively marked - Confidential

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Caseworker name		Date of stage 2 decision	
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Stage 3 ~ Material/Financial Abuse Template

1	<p>The nature and extent of the harmful behaviour.</p> <ul style="list-style-type: none"> • What was stolen? • The length of time over which the abuse has been happening. • Has the abuse been consistent and/or has it escalated? • Was the abuse committed against more than one victim? 	
	<p><i>Representations</i></p>	
2	<p>Relationship between referred person and victim(s).</p> <ul style="list-style-type: none"> • Vulnerability of the victim(s). • Nature of the relationship with the victim(s). Have they had a good relationship with the victim/ provided a good level of care? Breach of trust, position of responsibility, exploitation/manipulation, 	

blurring of boundaries.

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Representations



3

**M.O.
Premeditated/opportunistic.**

- Planning actions.
- Steps taken to perpetrate/conceal the abuse.
- Deceptive actions.
- Falsification of records.
- More than one perpetrator?

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Representations



4

Harm

- Level (or potential level) of harm/impact on victim(s) (including emotional harm).
- Their reaction to the

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harm/acknowledgement of responsibility.

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Representations



5

Pattern of behaviour/other concerns

- Employment/disciplinary history.
- Criminal history.
- Patterns/history (fraudulent, deceptive, behaviour etc).
- Have they previously had the opportunity to commit financial abuse?
- What period of time has elapsed since the harmful behaviour occurred and have they had further opportunity to financially abuse?

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Representations

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6	Trigger to abuse. <ul style="list-style-type: none">• Are we aware of anything that triggered the financial abuse (e.g. monetary problems, alcoholism, drug taking, gambling etc)?• Are we aware of any significant change in circumstances since the harmful behaviour that may reduce concerns (taken steps to ensure similar conduct will not be repeated in future e.g. successful engagement with treatment)?	
	<i>Representations</i>	
7	Mitigation <ul style="list-style-type: none">• Age/experience/training• Acknowledgement of responsibility• Credible remorse• Willingly repaid victim(s)• Treatment	

Representations

**Minded to bar assessment (including *if appropriate* which barred list)
Trigger Offences, Patterns of risk factors and decision making**

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	Yes / No	If yes - Power
Children		
V / Adults		

Note: If Minded to Bar on a list where RA has not yet been satisfied, you must undertake a Disclosure History check at this point.

Test for Regulated Activity Assessment - Review

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	Yes / No
Children	
V / Adults	

Is a specialist referral considered appropriate?
(If yes, complete the Appendix and escalate)

Caseworker name		Date of stage 3 decision	
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Stage 4 ~ Representations

Representations
Representations received?
Provide a brief summary of representations:

Review of Test for Regulated Activity	
(This can include challenges to the test, and new information):	
Children V / Adults	Yes / No

Stage 2 Review			
Do the representations challenge Stage 2 findings of relevant conduct or risk of harm?			
If yes, please summarise:			
Children V / Adult	Relevant Conduct	Risk of Harm	No
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Stage 3 Review	
Do the representations challenge the stage 3 assessment?	<input type="checkbox"/>
<i>If yes, return to Stage 3 and include additional relevant information from representations</i>	
Does it remain appropriate to bar?	<input type="checkbox"/>

Do the representations now satisfy the Regulated Activity Test for the second workforce <i>(where they previously did not)</i>	<input type="checkbox"/>
Does this now trigger the MTB process for the second workforce? <i>If yes, proceed with MTB process via Secondary case</i>	<input type="checkbox"/>

Children V / Adult	Yes / No	If yes - Power

Caseworker name		Date of stage 4 decision	
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Specialist Referral
Is a specialist referral considered appropriate? <i>(If yes, complete the Appendix and escalate to a senior officer)</i>

Stage 5 ~ Appropriate to Bar? (Decision)

Final review of appropriateness (*Record any relevant issues, including the Test for Regulated Activity*)

Barring Decision	Children V / Adults	Yes / No	If yes - Power	Confirm TRA

Caseworker name		Date of stage 5 decision	
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Annex 1

Escalation to Senior Officer
Reason for escalation:
Specific issues for Senior Officer to address:
Caseworker recommendation:
Senior Officer response:

Specialist Referrals
Specialist referral carried out by:
Summary of report:
Conclusions: