

NHS ELECTRONIC STAFF RECORD

ESR-NHS0153 - Disclosure and Barring Service (DBS) Interface User Guide

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1.2. REVIEWERS

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1.3. DISTRIBUTION

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3. INTRODUCTION

The NHS ESR Central Team worked in partnership with the Disclosure and Barring Service (DBS) during 2013/14 to develop a two way link between the Electronic Staff Record and the DBS systems. The link supports two vital business functions for NHS Employing Authorities, which will in turn help them to meet some of the key Francis' Report recommendations.

The processes build on the existing legal duty for employers to refer individuals to the DBS and the introduction of The Update Service, which allows employers to be made aware of any new information that has occurred since the Disclosure Certificate was last issued.

The link triggers two key functions:

- **Disclosure Status Updates:** ESR will request regular updates (approximately every 60 days) on an employee's DBS Disclosure record status and notifies holders of the new Disclosure and Safeguarding role when a change to an individual's disclosure status occurs – where an employee has signed up to the DBS Update Service.
- **Barring Referral:** Where an Employer refers an individual to the DBS, the link will allow high level ESR Employer Referral information to be transferred directly to the DBS Barring Team as a notification, and alerting them that a safeguarding referral to the DBS will be made.

The two business functions are independent of one another and so it is possible to use one aspect of the link with the DBS without using the other.

As part of the Recruitment process, employing authorities should already capture DBS information within the ESR system, in line with recommendations by NHS Employers' Employment Checks Guidance.

This document is intended to provide an outline of the interface functionality within ESR from a user perspective. Please note that it does not cover advice or recommendations around the DBS process and associated obligations.

4. ESR FUNCTIONALITY AND THE DBS UPDATE SERVICE

Implementation of the interface for the DBS required specific fields to be included on the Extra Person Information forms in ESR. These fields were added in 2013.

The details of the changes are set out in the sections below:

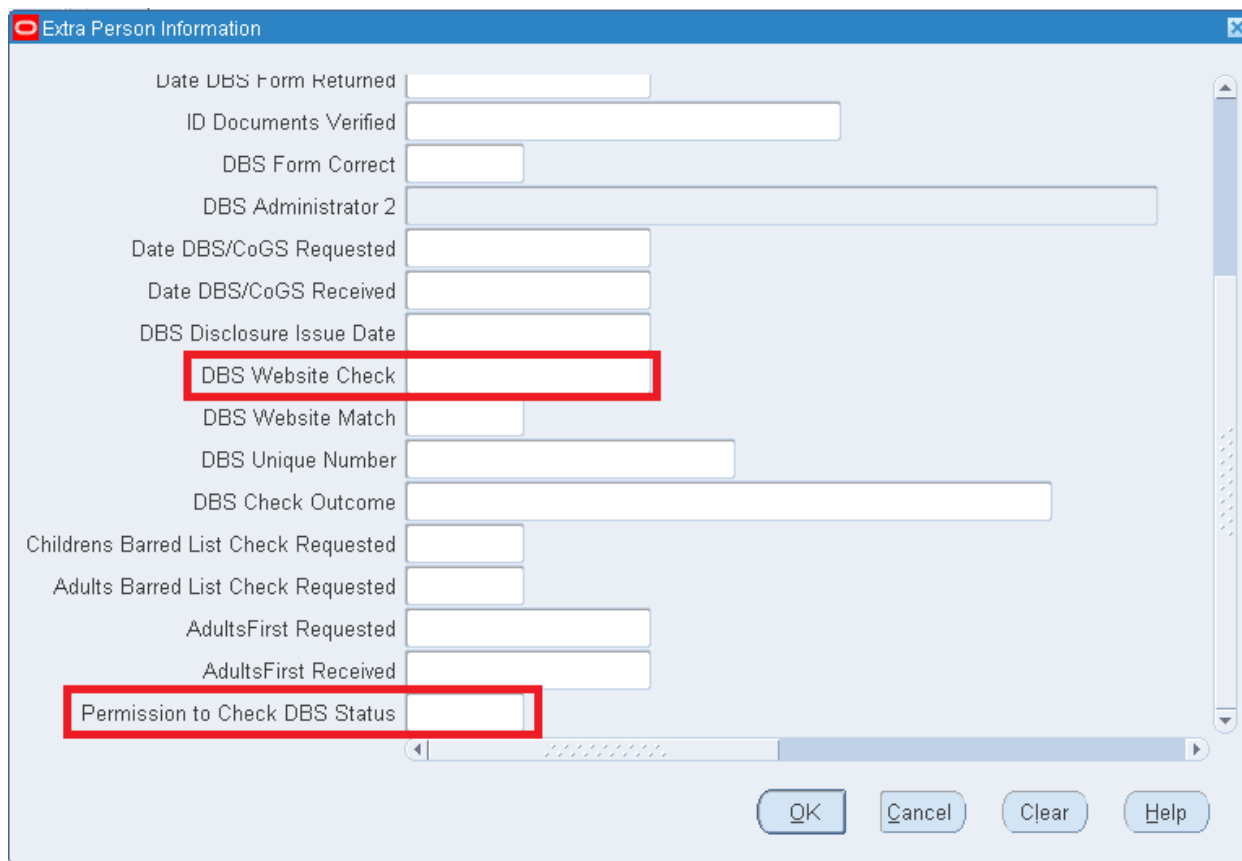
4.1. DBS AND VETTING CHECKLIST EIT

ESR Navigation – XXX Recruitment and Applicant Enrolment Administration > Enter and Maintain (B) > Extra Information > DBS and Vetting Checklist

Or ESR Navigation - XXX HR Administration > Enter and Maintain (B) Others > Mandatory NHS Employment Checks>View Details

Two fields were added as follows (illustration of the form is set out below):

- DBS Website check: Yes/No
- Permission to Check DBS Status: Yes/No



The screenshot shows a window titled 'Extra Person Information' with a list of fields. Two fields are highlighted with red boxes: 'DBS Website Check' and 'Permission to Check DBS Status'. The other fields include: Date DBS Form Returned, ID Documents Verified, DBS Form Correct, DBS Administrator 2, Date DBS/CoGS Requested, Date DBS/CoGS Received, DBS Disclosure Issue Date, DBS Website Match, DBS Unique Number, DBS Check Outcome, Childrens Barred List Check Requested, Adults Barred List Check Requested, AdultsFirst Requested, and AdultsFirst Received. At the bottom of the window are buttons for 'OK', 'Cancel', 'Clear', and 'Help'.

4.2. REFER TO DISCLOSURE AND BARRING SERVICE EXTRA INFORMATION TYPE (EIT) FORM

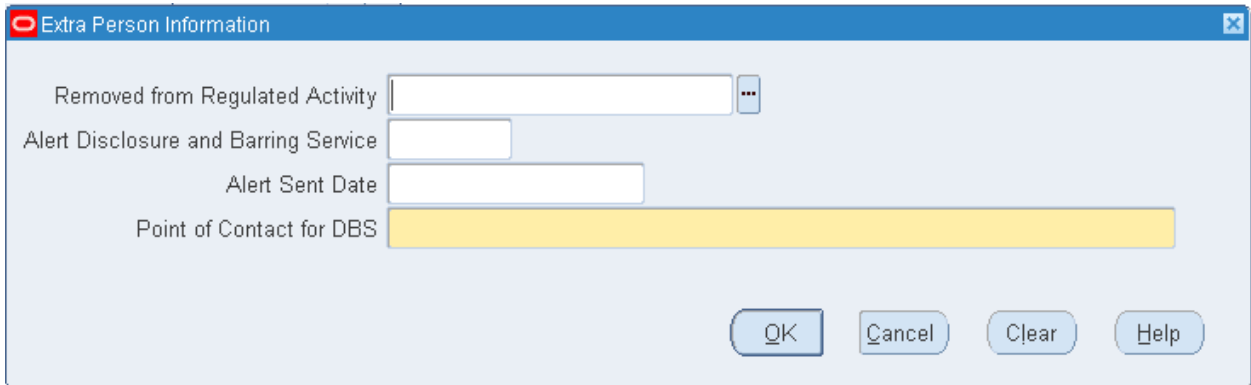
This Person EIT is available to the following User Responsibility Profiles and enables HR to send an Alert to the DBS Referral Service about an employee that is going to be formally referred to them in due course. This form should only be completed if the ESR Employee Relations module is not in use by the organisation

- XXX HR Administration
- XXX HR Administration (With RA)
- XXX HR Management

XXX HR Administration > Enter and Maintain (B) Others > Extra Information > Refer to Disclosure and Barring Service

The fields available are as follows:

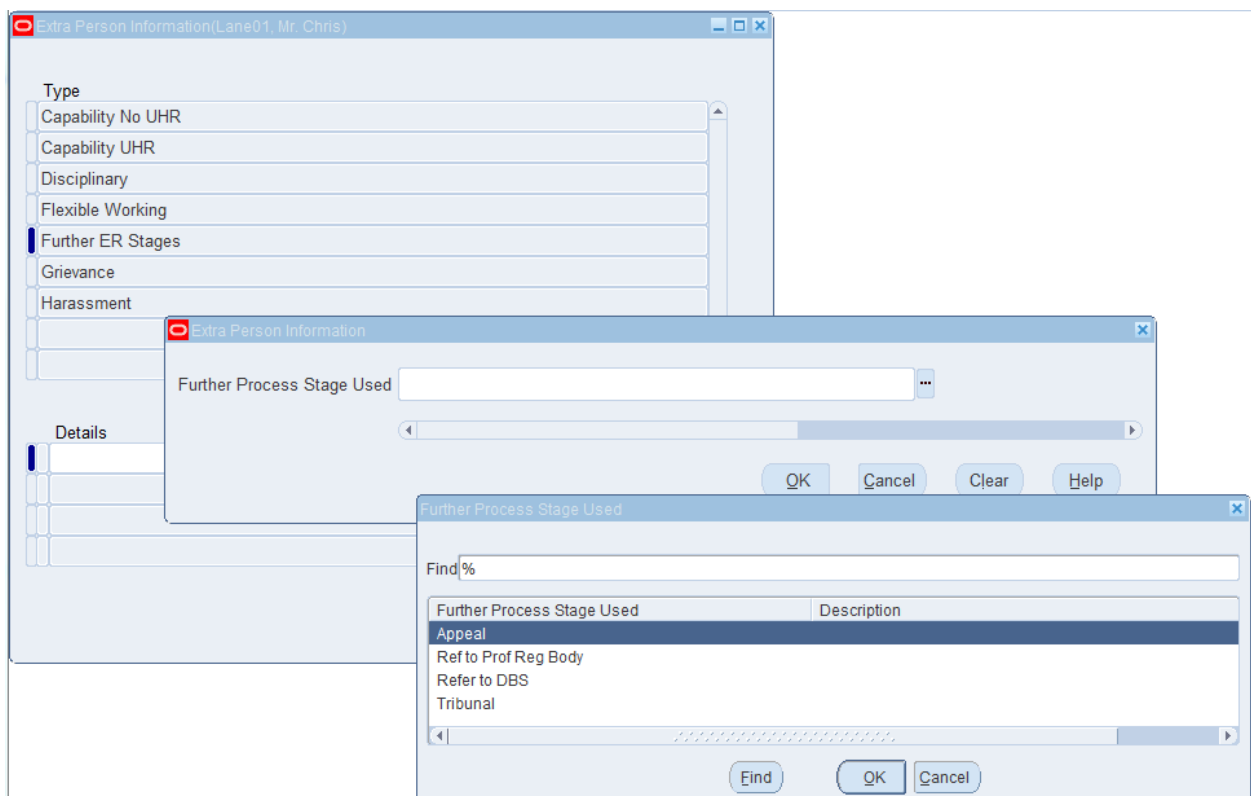
- **Removed from Regulated Activity:** Yes/No/Not Applicable
- **Alert Disclosure and Barring Service:** Yes/No
- **Alert Sent Date:** This field will be populated by the inbound interface when the 'Refer to DBS' notification has been sent by the outbound interface process.
- **Point of Contact for DBS:** This is a mandatory text field (up to 150 characters) which will allow for the entry of any input (HR must include the contact name, telephone number and email address for the DBS to contact to follow up any referral). Multiple records can be created against the EIT to record multiple referral information where necessary



4.3. FURTHER EMPLOYEE RELATIONS STAGES EIT

ESR Navigation - XXX Employee Relations Administration > Employee Relations Details > Further ER Stages

The data items included in the Refer to Disclosure and Barring Service EIT described above are also available in the Further ER Stages EIT and is the recommended approach. The data items were added to the Extra Person Info Details form, appearing where the Further Process Stage Used entered on the Extra Person Information form is 'Refer to DBS'.



Extra Person Info. Details

Process Start Date

Case Reference No

Removed from Regulated Activity

Alert Disclosure and Barring Service

Alert Date Sent

Point of Contact for DBS

Date Referred

DBS Outcome

Comments

HR Contact

Line Manager Contact

Process End Date

OK Cancel Clear Help

5. ROLES AND NOTIFICATIONS

Three roles support the operation of the interface and these are available as follows:

5.1. DBS STATUS & SAFEGUARDING ROLE

This is the primary notification role for the link between ESR and the DBS. As a minimum it must be allocated in order for the link to operate, but NHS Organisations should ensure all three roles outlined in this section are allocated to ensure full benefit.

It is important to note that the name of the individual allocated to this role will be shared with the DBS system and recorded whenever a DBS Update request is made. This will ensure that the subscriber can see who has made a check on their certificate. Where there are multiple role holders, only one of the role holders will be detailed.

There are two types of notification sent to this role holder as set out below.

5.1.1. DBS Dismissal Refer to DBS Notification

The 'Employees Dismissed – Refer to DBS' notification will be sent to the DBS Status and Safeguarding role holder from ESR when an employee's employment has been ended due to one of the subsequent dismissal reasons. The notification provides the outline of the person who has been terminated and may be of interest to the DBS i.e. those who have been dismissed by the employer and the leaving reason of:

- 'Dismissal – Some other Substantial Reason',
- 'Dismissal – Statutory Reason' or
- 'Dismissal – Conduct'.

The notification will appear as illustrated below:

DBS Dismissal Refer to DBS

Information
This notification does not require a response.

[OK](#) [Reassign](#) [More Information Request](#)

To: Jackson, Simon
Sent: 13-Jun-2017 22:36:44
ID: 341636255

DBS Dismissal Refer to DBS

The following employee has recently been dismissed from your organisation and may require referral to the DBS. If this person was removed from 'Regulated Activity' because they pose a safeguarding risk, then please consider whether they need to be referred to the DBS and initiate the Refer to DBS form. This can be found either in the HR Administration or Employee Relations URPs.

If you have any queries relating to this notification please contact the NHS Interfaces Team by raising a Service Request on the Remedy Helpdesk.

Title	Last Name	First Name	Employee Number	Organisation Name	Position Title	Assign Category	Supervisor	DBS Website Check	DBS Unique Number	DBS Certificate Date	Type of Disclosure	Disclosure Issue Date	Adults Barring List Check Requested	Childrens Barring List Check Requested
Miss	Joshi	Neela	12345678	504 Ward 10	Staff Nurse	Permanent	12345679 Vivian Leese		505/ESR01	17-Dec-2014	Enhanced	17-Dec-2014	Yes	Yes

[OK](#) [Reassign](#) [More Information Request](#)

[Return to Worklist](#)
 Display next notification after my response

5.1.2. DBS – Alert Notification

A Notification will be triggered and sent to the role holder when the results of the DBS Update e-bulk checks show the following statuses against an employee whose DBS certificate is registered with the DBS Update Service and they have given their permission for the organisation to monitor its status. This is done by setting the 'permission to check DBS status' field (on the DBS and Vetting checklist EIT), to 'Yes'.

The notification reports the following outcomes:

- New Information
- No Match Found

The notification will appear as illustrated below:

DBS - Alert Notification

i Information
This notification does not require a response.

To Jackson, Simon
Sent 13-Jul-2017 22:36:00
ID 348469710

DBS - Alert Notification

The following DBS information has been returned from the DBS Status Check process. You should review the DBS status message field below and undertake any appropriate action.

Note: Where a person holds more than one position there may be multiple records below.

If you have any queries relating to this notification, please contact the NHS ESR Systems Integration Team by raising a Service Request on the ESR Helpdesk.

Title	Last Name	First Name	Employee Number	Organisation Name	Position Title	Assign Category	Supervisor	DBS Website Check	DBS Unique Number	Result	Type of Disclosure	Disclosure Issue Date	Adults Barring List Check Requested	Childrens Barring List Check Requested
Miss	Johsi	Neela	12345678	504 Ward 10	Staff Nurse	Permanent	Vivian Leese	13-Jul-2017	585/ESR01	No Match Found	Enhanced	2017/03/09 00:00:00	Yes	Yes

[Return to Worklist](#)
 Display next notification after my response

OK Reassign More Information Request

Please note:

The 'New Information' update suggests there has been a change in the status since the issue of the original certificate. Employers are expected to discuss the change in status with the individual. Following the discussion, the employer may decide to submit a new DBS application for the individual.

The 'no match found' response will be returned where there is no record of a certificate matching the certificate number, name and date of birth in the DBS Update Service. This may be for a number of reasons:

- Incorrect details have been input;
- The individual has removed the certificate;
- The certificate has been replaced by a new certificate (this happens where a certificate has been disputed and the dispute has been upheld);
- The DBS may remove a certificate if it finds that the details on the certificate are inaccurate;
- The subscriber has stopped their subscription to the DBS Update Service;
- The existing DBS form currently detailing certificate details that are not subject to monitoring has been updated with a 'Yes' in the permission field whilst awaiting the arrival of a new DBS certificate that is being monitored.

5.2. GENERIC SYSTEM ADMINISTRATION ROLE

The interface operation is also supported by the Generic System Administration role within ESR. Trusts are expected to allocate this role as part of the implementation process.

An FYI Notification will be triggered and sent to this role holder when there are no active users allocated to the DBS Status Notification role (described above). This notification has been developed because the DBS Update Service requires information about the organisation requesting the update. The first name and last name of the "DBS Status and Safeguarding" role holder must be supplied to the DBS Update Service when checking the status. Without this information, a Status Request cannot be submitted.

The notification will appear as illustrated below:

DBS Role Holder Not Allocated

Information
This notification does not require a response.

OK Reassign Request Information

To: XXHR_GEN_IL_ADHOC_USER
Sent: 18-Oct-2017 16:49:14
ID: 347548

It has been noted that your organisation has DBS Certificates that are registered with the DBS update service. The DBS Status and Safeguarding role within ESR is currently not allocated for your employing authority (VPD). This will prevent automatic update checks for DBS Certificates from taking place. Please allocate the role as a matter of urgency to someone within your organisation. Contact your HR department for advice on who this role should be allocated to.

If you have any queries regarding this notification please contact the NHS Interfaces Team by raising a Service Request on the Remedy Helpdesk.

OK Reassign Request Information

[Return to Worklist](#)
 Display next notification after my response

5.3. DBS ADMINISTRATION ROLE

An alternate role has been developed to support the administration of DBS Update Service subscriptions within ESR. This is the DBS Administration Role.

An FYI Notification will be triggered and sent to the role holder when the person's subscription to the DBS Update service is likely to expire within 30 days (using the Disclosure Certificate Date field to determine the annual renewal date).

The notification will appear as illustrated below:

DBS Subscription Reminder

Information
This notification does not require a response.

OK Reassign More Information Request

To: Jackson, Simon
Sent: 15-Jul-2017 22:34:34
ID: 348768010

DBS Subscription Reminder

The following employees are due to renew their DBS Subscription to the DBS Update Service within 30 days. Please ensure they have taken the necessary action to renew their DBS subscription. A reminder has also been sent to the employee.

Note: The renewal date is based on the DBS Disclosure Issue Date and only their Primary Assignment is detailed below. They may have additional assignments.

If you have any queries relating to this notification please contact the NHS Interfaces Team by raising a Service Request on the Remedy Helpdesk.

Title	Last Name	First Name	Employee Number	Organisation Name	Position Title	Assgn Category	Supervisor	DBS Website Check	DBS Unique Number	DBS Certificate Date	Type of Disclosure	Disclosure Issue Date	Adults Barring List Check Requested	Childrens Barring List Check Requested
Miss	Joshi	Neela	12345678	504 Ward 10	Staff Nurse	Fixed Term Temp	12345679 Leese Vivian Mrs.	10-Jun-2017	585/ESR01	14-Aug-2015	Enhanced	14-Aug-2015	Yes	Yes

OK Reassign More Information Request

[Return to Worklist](#)
 Display next notification after my response

5.4. DBS UPDATE SERVICE SUBSCRIPTION REMINDER NOTIFICATION

The DBS checking functionality will also send a reminder to employees, one month before their subscription to the update service requires renewal.

The notification will only be sent to Employees with 'Permission to Check DBS Status' = 'Yes' in the DBS Checklist EIT.

The notification will be sent at the start of the final month of subscription. The Notification details will appear to the employee as follows:

Title: DBS - Update Service Subscription Reminder - 30 Days
To: Name of employee
Sent: DD/MMM/YYYY & Time

Body of Notification: The Human Resources Management System that stores your Electronic Staff Record has identified that your subscription to the DBS Update Service is due for renewal within the next 30 days. This is based on the your DBS Disclosure Issue Date of <insert DBS Disclosure Issue Date from the CRB EIT here>

Please ensure that you renew your subscription before the expiry date in order for your DBS status to continue to be monitored.

The DBS Administrator at your Employing Organisation has also been notified that your subscription is due for renewal

The actual formula that ESR will use to determine the date to issue the reminder is as follows:

- Start with the 'DBS Disclosure Issue Date' (from the DBS Checklist EIT)
- Then add one year
- Finally, subtract 30 days.

For example if the DBS Disclosure Issue Date for the employee is 31-Jul-2019:

- Start with the 'DBS Disclosure Issue Date' (from the DBS Checklist EIT) = 31st Jul 2019
- Then add one year = 31st Jul 2020
- Finally, subtract 30 days = 1st Jul 2020

In this instance, the reminder notification would be sent to the Employee on 01-Jul-2020.

6. PROCESSING FREQUENCY

6.1. DBS UPDATE SERVICE

This aspect of the interface process primarily allows updates to be applied within ESR and triggers updates in ESR where a change is reported by the DBS Update Service. Where permission to make regular checks is given to an employer by the employee, an update will be made to the record **every 60 days**.

Please note that if an update is requested and a response is not returned by the DBS systems e.g. due to performance or system issues, further requests are made until a response is received. This can translate to an inflated number of checks seen by an individual on their DBS record, but may not correspond to genuine checks. If in doubt, please raise a **Priority 5** Service Request with the ESR Service Desk.

6.2. REFERRAL TO THE DBS

This part of the interface process is outbound (i.e. information flows out of ESR into the DBS systems) and it operates on **a daily basis**. As a consequence, where a user has completed the DBS referral information within ESR, details of the individual being referred will transfer to the DBS systems overnight.

7. BUSINESS PROCESS REVIEW

The following notes relate solely to the interface process between ESR and the DBS. They can be used as pre-implementation readiness checks, or, if the interface has already been implemented, the steps can be used to review existing business processes and policies.

7.1. ESSENTIAL ACTIVITIES

The following activities should be undertaken prior to implementation of the interface, or as part of business process reviews:

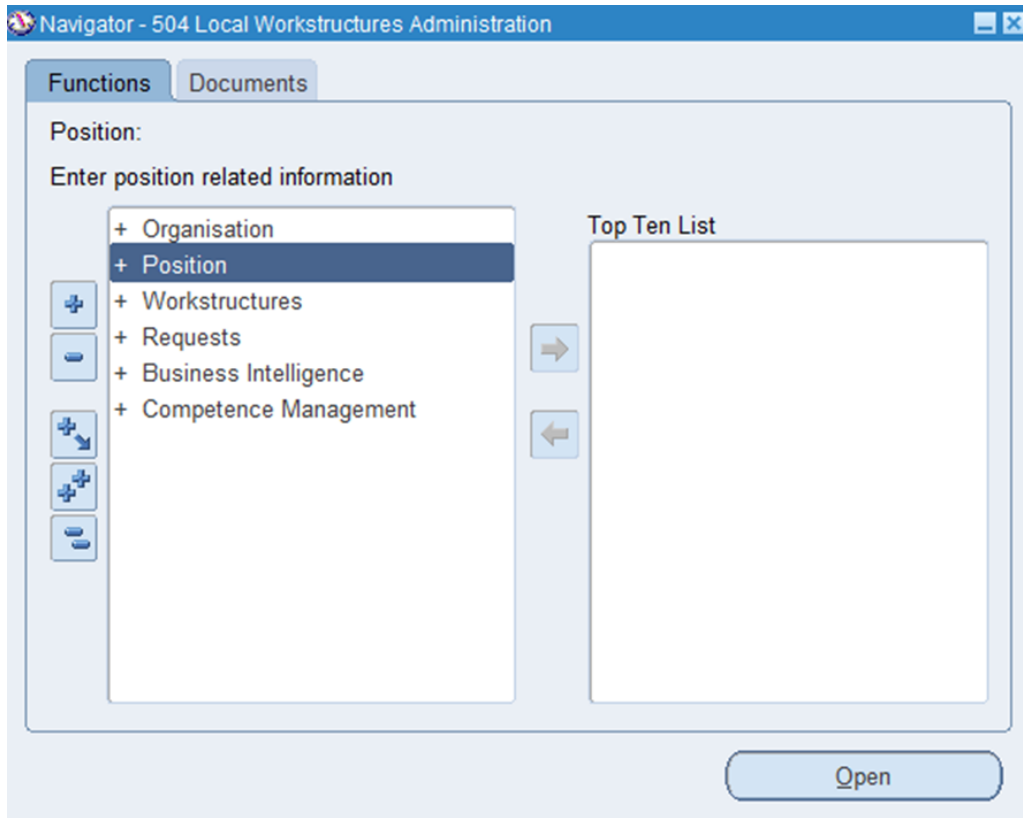
1. Ensure that the pre-employment check process includes the recording of DBS information within ESR.
2. Develop/review HR Policies to encourage new and existing staff to subscribe to the Update Status service, when a new Disclosure is requested. Note: existing staff may need to complete a new disclosure application before they can be included. Organisations that undertake repeat checks annually for temporary/bank staff or three yearly for other staff including junior doctor trainees, should factor this consideration into their renewal process.
3. Ensure that the employees who give their permission to run regular checks are captured in ESR. This should be done by setting the 'Permission to Check DBS Status' field to 'yes' within the DBS and Vetting Checklist EIT. Always record as a minimum the information highlighted by the red boxes in the illustration below:

The screenshot shows a window titled 'Extra Person Information' with a list of input fields. The following fields are highlighted with red boxes:

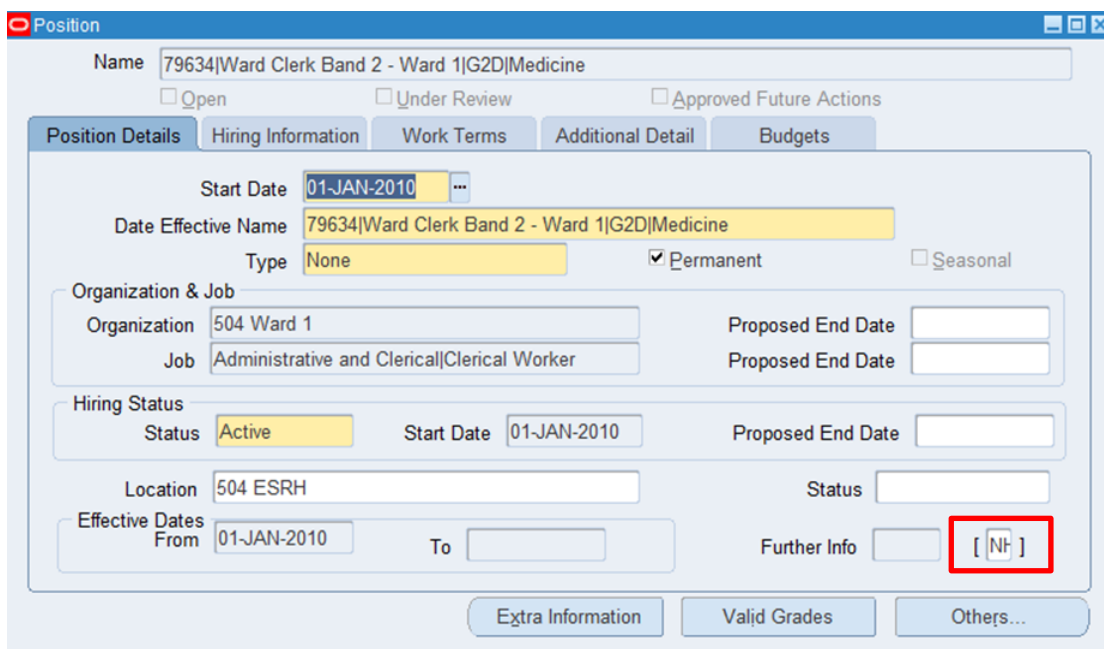
- DBS Disclosure Issue Date
- DBS Website Check
- DBS Website Match
- DBS Unique Number
- Permission to Check DBS Status

4. Ensure that the DBS requirement for each post is recorded against the position information in ESR (accessed via the Local Workstructures Admin URP), including if the position requires a check against the Adults and or Children's Barred list.

To set this position flag, log in to ESR and choose the XXX Local Workstructures URP, then click on 'Position' > 'Description'.



Set your effective date and search for your position. Next, click on the 'Further Info' DFF (the box highlighted in red on the illustration below).



In the 'Additional Position Details' screen, you are able to set the DBS requirements relevant to the position. You can choose from the following list of values for each:

- DBS Disclosure Type – Basic, Standard, Enhanced, None
- Childrens Barred List Check Required – Yes, No
- Adults Barred List Check Required – Yes, No

Additional Position Details

Subjective Code **NHS5658** Admin & Clerical Band 2

Management Cost

DBS Disclosure Type **Standard** Standard

Childrens Barred List Check Required

Adults Barred List Check Required

Contract Type **NHSXAFCMN**

Suitable for International Rec **No**

Welsh Position Translation

Workplace Org Code

NHS CRS Position Name 1 **Not Applicable**

NHS CRS Position Name 2

NHS CRS Position Name 3

NHS CRS Position Name 4

NHS CRS Position Name 5

NHS CRS Position Name 6

NHS CRS Position Name 7

OK Cancel Clear Help

If more than 100 positions require updating, you can raise a mass update request with the ESR Service Desk using the following path: Request a new Service > AC > Mass Updates > Workstructures/URP > Mass Update – Position / Work Structures / WTE.

5. Make regular checks to ensure that the workforce has the appropriate level of DBS Clearance. An employee occupying a post should have the DBS clearance level required for their position – For example: Standard or Enhanced with/without a check against any of the vulnerable groups barred list.
6. The Safeguarding Lead within your organisations should familiarise themselves with the Prescribed Information requirements (information required by law, as part of a referral, as set out in Schedule 1 of the legislation) in readiness for a referral submission being made to the DBS Barring Team. The DBS Referral Guidance provides information on the formal referral process.

7.2. INTERFACE GO LIVE

NHS Organisations wishing to implement the interface should raise a Service Request with the ESR Service Desk using the “DBS Interface – Activation” offering under “Request a new Service”.