

To be completed by Registered Body	
Name of Registered Body	Organisation name
Audit form completed by	Name of person completing/submitting audit form
Address of Registered Body	Contact address for organisation/person completing this audit form
Registered Body Code	Code supplied by Disclosure Scotland – e.g. ABC123
Contact Telephone Number	Telephone number of person completing this audit form
Contact email address	Email address of person completing this audit form
Reference No. of Person completing this form	CSG 1234
Date completed	Date of completion of audit form/when forwarded to Disclosure Scotland

Please state below any other documents/evidence submitted by you in addition to the completed self assessment form.	
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2.	
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6.	
7.	

All registered bodies should answer questions 1 to 13.

1.	<p>This first question does not test your adherence to the Code, Guide or law but simply requests you to provide us a brief overview of your organisation.</p> <p>Please state the main purposes of your organisation, with specific reference to those which relate to your ability to obtain Standard or Enhanced Disclosures. It would be of assistance if you could also provide information relating to types of facilities/premises you operate, where the facilities or staff are based (in a geographical basis), numbers of staff (total numbers and those which you consider are subject to Standard or Enhanced Disclosures), etc.</p>
	<p>e.g.</p> <ul style="list-style-type: none"> We are a local authority education department; we operate and manage schools, nurseries, etc. We operate ** schools, ** nurseries, etc. all within the geographical boundary of ** Council. The education department has approximately ** staff, of which ** are subject to Standard disclosures and ** Enhanced disclosures. We have a policy of re-disclosing every * years. We are a care home service; we provide care for adults at risk, the elderly, people with physical and/or mental disabilities, etc. We operate ** care homes within Scotland/England/UK and we have approximately ** staff, of which ** are subject to Standard disclosures and ** Enhanced disclosures. We have a policy of re-disclosing every * years.
2.	<p>Please supply a supporting statement for your organisation detailing what positions require Standard or Enhanced Disclosure checks and why the disclosure is required or what legislative provision entitles you to them. Please include what “list searches” you request for each position.</p>
	<p>Information should provide sufficient detail on what posts (types of positions) you will be requesting disclosures for and at what level. Please also state why these posts are exempt and where their normal duties are undertaken. What lists you request to be checked e.g. disqualified from working with children or disqualified from working with adults at risk or both? List checks should only be requested when the applicant will be working with that client group e.g. disqualified from working with children list when the position is based in a school; no check on the adult at risk list is required for this post.</p> <p>e.g.</p> <ul style="list-style-type: none"> Cleaners, teachers, technicians whose normal duties are carried out in schools checked at Enhanced level as they work in an educational establishment in terms of the Protection of Children (Scotland) Act 2003, only checks against relevant childcare lists are requested Accountants within our Finance Department checked at Standard level as position excepted from provisions of Rehabilitation of Offenders Act 1974, no list checks required <p>It may be simpler to provide a grid with, for example, columns headed “title of position”, “where based” or “work based in”, “level of Disclosure”, “reason/legislative provision for level”, etc.</p>
3.	<p>How do you provide assurance for those applying for Standard and Enhanced Disclosures that the information will be used properly and fairly? Please provide copies of any documentation used.</p>
	<p>Do you give guidance of any kind to the applicants on how you use disclosure information? Do you inform applicants of the Disclosure Scotland Code of Practice?</p>

4.	<p>How do you confirm the identity of disclosure applicants? Please provide copies of any relevant documentation used.</p>
	<p>At what stage of the recruitment process is the ID check completed? Who completes the check? What documents do you request and how many? Do you accept photocopies or only originals? What else would you do to validate an applicant's ID?</p> <p><i>For additional information please refer to Paragraphs 54 to 57 of the Guide.</i></p>
5.	<p>How is Disclosure information handled upon receipt by your organisation? (<i>Disclosure information is defined within Paragraph 3 of the Code</i>)</p>
	<p>Detail the handling process of the disclosure information from the organisation receiving the certificate to destroying the information, who will be involved at each stage, etc?</p> <p>e.g.</p> <ul style="list-style-type: none"> • Disclosure certificate received by the nominee (countersignatory) who makes the recruitment decision and files the certificate for ** days/months within central file (or individual's personnel file). HR assistant will shred certificate after ** days/months. • Disclosure certificate opened by nominee, passed to appointing officer/interview panel chairperson for recruitment decision, returned to the nominee to record decision then destroyed immediately.
6.	<p>How will the content of the Disclosure impact your recruitment decision?</p>
	<p>Do you have a policy for the recruitment of ex-offenders or guidelines for what convictions are acceptable for a post?</p> <p>e.g.</p> <ul style="list-style-type: none"> • Disclosure certificate received by nominee, conviction information contained on certificate already supplied by applicant therefore proceed with offer of employment once other pre-employment checks received. Certificate then shredded onsite as recruitment decision made or stored for ** days/months then shredded. • Disclosure certificate contains "other relevant information" not disclosed by applicant, information passed to appointing manager to decide on relevance. If information deemed relevant the manager will meet with applicant prior to deciding whether or not to proceed with the offer of employment. After decision is made certificate stored for ** days/months then shredded.
7.	<p>What action would you take if an Enhanced Disclosure Certificate revealed that an applicant for a childcare post was disqualified from working with children (or an applicant for an adult at risk post was disqualified from working with adults at risk)?</p>

	<p>Would you employ the individual in the post applied for? It is an offence to knowingly employ an individual disqualified from working with children in a childcare post and it is an offence for the applicant to knowingly apply for a childcare post.</p>
8.	<p>How do you ensure that the Disclosure information requested by your organisation is used for the purpose for which it was provided?</p>
	<p>What procedures do you have to ensure that Disclosure information is only requested and used for the purpose for which it was provided? What guidance do you have or that is issued to departments within your organisation which outlines how your organisation operates within the disclosure system?</p> <p>e.g.</p> <ul style="list-style-type: none"> Disclosures required for employment purposes in relation to positions (teachers, social workers, solicitors, etc.) exempted from the provisions of the Rehabilitation of Offenders Act 1974. We have a list of all positions which also details the appropriate level of Disclosure for each position. <i>(Note - if you have this, please provide copy to Disclosure Scotland)</i>
9.	<p>How is Disclosure information stored within your organisation and who will have access to this information?</p>
	<p>Where do you physically store the Disclosures and what security measures are in place – e.g. lockable cupboards/rooms? Do you keep information from the disclosure anywhere else – spreadsheet, tracking document, database, if you do please provide an extract and advise who has access to this. Are Disclosures contained within individual applicant’s personnel files or centrally held in a “Disclosure” file?</p> <p>Details of the positions of the individuals in your organisation who have access to disclosure information and why they require this information.</p> <p>Do you disclose the information to anyone outside your organisation? Please detail what information you pass, who to (e.g. regulatory bodies such as the Care Commission, HMIE, GTCS) and why you pass the information to them. <i>Again, Disclosure Information is defined within Paragraph 3 of the Code.</i></p>
10.	<p>How long do you retain Disclosure information and how do you dispose of this information?</p>
	<p>For what period of time, after the recruitment decision has been made, do you store the disclosure information? How is the information disposed of, is it put in secure waste, shredded onsite, etc?</p>
11.	<p>Do you have a written policy on the secure storage, handling, use, retention and disposal of Disclosure information? If yes please supply a copy, if not see best practice sample on the Application Process/Sample Policy page of our website.</p>
	<p>Please send a copy of your policy; if you currently have no policy in place please refer to the website for a sample document and put a policy in place.</p> <p>It is a breach of the Code not to have a policy in place.</p>

12.	How do you communicate any additional guidance issued by Disclosure Scotland to your nominees (countersignatories) and other relevant members of staff?
	<p>What system do you have in place to ensure all nominees and relevant members of staff are aware of updates which are only sent to the Registered Person (Lead Signatory) or Nominees (Counter Signatories)?</p> <p>e.g.</p> <ul style="list-style-type: none"> • Circulate copies of guidance • Refer additional countersignatories to Disclosure Scotland website • Disclosure is an agenda item on our HR Practitioners Forum
13.	Please list or attach a schedule of those within your organisation who can countersign Disclosures with their current business contact details.
	Please attach a list of your current Registered Person (i.e. Lead Signatory) and nominees (additional countersignatories). Please indicate on this list if you require any amendments to be made and the relevant paperwork will be forwarded to you. <i>Please note that each Registered Body should only have one Registered Person; please highlight on your list who the Registered Person is.</i>
14.	Please insert here any questions or comments you wish to raise regarding this audit or the Disclosure service in general.
	<p>If asking questions please supply as much detail as possible.</p> <p>Any comments you wish to make on the Self Assessment process would be greatly appreciated.</p>

If you are an umbrella body, please proceed to the next page.

If you're not an umbrella body, and you've answered the above questions, then you have completed this audit, please forward the completed document to your Registered Person. Thank you for taking part in this exercise. Once the Registered Person Declaration is completed please return your completed form and any supporting documentation to the contact points shown on

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The following only requires to be completed by Registered Bodies which act as Umbrella Bodies

U1.	How do you satisfy yourself that the people on whose behalf you countersign Standard and Enhanced application forms are entitled to ask the exempted question?
	<p>What information do you request from organisations to ensure that the posts you are processing the application for are entitled to the level of disclosure they are requesting?</p> <p>e.g.</p> <ul style="list-style-type: none"> • Do you request copies of job descriptions? • Do you enquire where the position is based, both in terms of the type of facility and the geographical location of the position?
U2.	What steps do you take to ensure those who you pass Disclosure information onto observe the Code of Practice?
	Do you have contracts or service level agreements in place? Do you visit the organisations, review their policy documents? Who conducts the ID checks? What evidence do you have that those who you act for comply with the Code, the Guide and the law?
U3.	What actions do you take, as an umbrella body, on receipt of the disclosure certificate?
	Do you pass the disclosure certificate to the employer to make the recruitment decision or do you make the decision? Do you take copies of the Disclosure? Who would keep the disclosure certificate and for how long? How long are certificates held and who disposes them?

If you're an umbrella body, and you've answered the above questions, then you have completed this audit, please forward the completed document to your Registered Person. Thank you for taking part in this exercise. Once the Registered Person Declaration has been completed please return your completed form and any supporting documentation to the contact points shown on Page 1.

To be completed by the Registered Person on completion of Audit

Registered Person (Lead Signatory) Declaration

As Registered Person, I declare that, to the best of my knowledge and belief, all of the information that I/we have given in connection with this audit is full and correct in every respect. I undertake to supply any additional information that may be required by Disclosure Scotland to verify the particulars given and also to inform Disclosure Scotland of any alteration to these particulars.

Print Full Name	Full name of the Registered Person (Lead) printed
Signature	Signature of Registered Person
Reference No. of Person completing this form	CSG 1234
Registered Body Name	Name of Organisation
Registered Body Code	Code supplied by Disclosure Scotland – e.g. ABC123
Date of Signature	Date that Registered Person signs declaration confirming that the information supplied is accurate

The signature you supply here will be checked against the sample you supplied on your Registration application.

The Registered Person (Lead) for the organisation must sign this declaration to confirm that the information supplied is accurate. Disclosure Scotland will confirm the signature with the image held on our database. If the Registered Person isn't available when the form is being signed off then the Declaration should be signed by an authorised Disclosure countersignatory and a note to this effect inserted on this Page.