



**APPENDIX A of Cabinet Report**

**Disclosure and Barring Service (DBS) Policy and  
Procedures for Home to School and Social Services  
Transport Providers.**

Approved by:	
Last Review Date:	
Next Review Date	

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## **1.0 Introduction**

This Policy has been implemented by Neath Port Talbot County Council's Passenger Transport Unit, the aim of the policy is to guide and ensure the correct Enhanced DBS check is conducted with the appropriate safeguarding measures, which are essential for Home to School and Social Services contracts.

### **1.1 Purpose**

The policy intends to support, guide, and direct The Passenger Transport Unit, Transport Operators and their Employee's (Drivers and Passenger Assistants) when assessing the suitability of those working on Home to School and Social Services Transport contracts.

The policy will highlight the assessment criteria and processes to follow in assessing a Driver or Passenger Assistant's ability to work on Home to School and Social Services Contracts, the processes being:

- The DBS application process
- The DBS verification process
- The DBS assessment criteria
- The DBS appeals process.

The Council utilises the Disclosure and Barring Service as one method of assessing applicants' suitability for positions of trust. The Passenger Transport Unit commits itself to comply with the DBS Code of Practice and to fair treatment of all Drivers and Passenger Assistants applications.

## **1.2 Objective**

The objective of this policy is to protect and safeguard all Passengers, Drivers, and Passenger Assistants.

The Passenger Transport Unit and contracted Transport Operators will take all the necessary steps, to ensure all Drivers and Passenger Assistants engaged with Home to School and Social Services Contracts are:

- a fit and proper person
- not a threat to passengers
- safeguarded from dishonest persons.

## **1.3 Responsibilities**

Drivers and Passenger Assistants are required to have an Enhanced DBS check at the correct level, which must cover contract work. The Passenger Transport Unit will refer to this policy and the “*Conditions of Contract for the provision of transport services.*” Each application will be considered on its own merit.

Any Driver or Passenger Assistant employed by the Transport Operator should obtain two written references prior to employment, The Passenger Transport Unit reserves the right to view such references upon giving notice to the Transport Operator.

Transport Operators with Home to School and Social Services Contracts must guarantee that all Drivers and Passenger Assistants have an Enhanced DBS Certificate and hold a valid electronic ID badge that has been issued by the Passenger Transport Unit.

## **1.4 Passenger Transport Unit role**

The Passenger Transport Unit will also refer to the policy to evaluate Drivers and Passenger Assistants working on Home to School and Social Services contracts, similarly, to determine suitability and capability of performing duties for Home to School and Social Services Contracts.

Passenger Transport Unit Officers are assigned control to grant ID badges to Drivers and Passenger Assistants, who are considered suitable to work on home to school and Social Services transport contracts.

The Passenger Transport Unit will assist Transport Operators and applicants throughout the DBS application and electronic ID badge process via the dedicated DBS email address: [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

## **2.0 Management of Operators, Drivers, and Passenger Assistants.**

This section of the policy covers essential employment checks that are mandatory to guarantee a safe recruitment process when Transport Operators employ Drivers and Passenger Assistants for Home to School and Social Services contracts.

Transport Operators must also ensure The Passenger Transport Unit holds an up-to-date record of all Drivers and Passenger Assistants employed on Home to School and Social Services contracts. (See section 2.5)

### **2.1 Transport Operators Employment of Drivers and Passenger Assistants and Enhanced DBS Certificates.**

#### **2.1.1 Right to work in the United Kingdom**

Right to work should be conducted prior to employing any Driver or Passenger Assistant, by checking relevant documentations. (Section 6)

#### **2.1.2 Enhanced DBS Certificate**

Transport Operators must review the Drivers or Passenger Assistants Enhanced DBS Certificate, prior to acceptance on Home to School contracts, this will guide the Transport Operator on a safe recruitment decision.

Whilst the Enhanced DBS Certificate is crucial in deciding to employ, it is important to outline that the DBS Certificate is just one part of the safe recruitment. The Enhanced DBS should not be the sole reason to deem an applicant suitable or unsuitable for Home to

School and Social Services contracts. The Transport Operator should have their own procedures and processes in place to screen out any unsuitable Drivers or Passenger Assistants, for example interview, references, Driving demonstration etc.

### **2.1.3 Caution(s) or Conviction(s) after Enhanced DBS Certificate has been supplied.**

Should a Driver or Passenger Assistant receive any convictions or cautions during their employment, then these should be reported to the employer as well as the Passenger Transport Unit. If necessary, the Passenger Transport Unit may suspend the employee from performing any aspect of the contract, whilst safeguarding investigations are considered an must remain suspended until the Passenger Transport Unit, confirms that they may perform the Service again. (See 10.1)

## **2.2 Risk Assessments.**

The Transport Operators have a duty to risk assess each contract they have been awarded, to safeguard all passengers, Drivers, and Passenger Assistants (if applicable to the contract). The Passenger Transport Unit can request to review the risk assessments at any point.

## **2.3 Drivers and Passenger Assistants training.**

The Transport Operator must ensure that the relevant and mandatory training is in place for the Driver and Passenger Assistant (if required), when accepting and commencing Passenger Transport Unit Home to School and Social Services contracts.

## **2.4 Passenger Transport Unit- Electronic ID badges.**

When operating Home to School and Social Services Transport Contracts, the Transport Operator shall ensure that no Driver or Passenger Assistant commences a contract, until the Passenger Transport Unit has received a valid Enhanced DBS Certificate and approved an electronic ID badge.

The authorised electronic ID badge must be present on all Passenger Transport Unit's Home to School and Social Services

contracts. If the ID badge is not presented on request or has expired, then deductions will be made to the contract(s) daily cost.

It is the Transport Operator's responsibility to ensure that drivers have the appropriate valid driving licence, CPC Card, or Taxi badge. The Passenger Transport Unit only provides a DBS Approved ID badge, this does not consent nor conclude that the driver has the appropriate driving permissions in place.

If the Passenger Transport Unit has prohibited a Driver or Passenger Assistant to undertake Home School and Social Services contracts, failure by the Transport Operator to uphold any suspension may result in termination of the Contract.

## **2.5 Transport Operator's employee lists.**

Transport Operators are responsible for notifying the Passenger Transport Unit of all Drivers and Passenger Assistants employed on Home to School or Social Services Transport contracts, this can be done by monitoring and revising the below:-

### **2.5.1 Automated Employee Check – (Generated Quarterly)**

The Passenger Transport Unit directs an automated email to all Transport Operators on a quarterly basis, which contains a list of currently registered Drivers and Passenger Assistants.

### **2.5.2 Automated Employee Check - DBS Expiring in 90 days or less. (Generated monthly)**

The Passenger Transport Unit directs an automated email to all Transport Operators monthly, which identifies the Drivers or Passenger assistants who's DBS Certificate / electronic ID Badge expire within 90 days or less.

It is the Transport Operators duty to ensure the lists in **2.5.1** and **2.5.2** are accurate and initiate the renewal of the DBS Certificate if required. If the lists need updating, then the Transport Operator(s) should advise the Passenger Transport Unit by emailing [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

### **3.0 Disclosure and Barring Service (DBS) Application Process<sup>1</sup>**

This section applies to a new enhanced DBS Certificate. The Driver and Passenger Assistant will initially agree to the DBS Certificate process by signing a declaration form (Appendix D) and returned to [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

#### **3.1 Payment and Application**

Payment for the DBS application will be made through Neath Port Talbots Council website (excluding unpaid volunteers, for which there is no charge and must be declared on the application (Appendix A)).

All expenses associated with the DBS check and certificate are to be met by the applicant or their employer.

Once payment has been confirmed, applicants are then required to complete a DBS Template requesting an Enhanced DBS check for contract work. Completion of the DBS new application or on renewal every 3 years. (See Appendix A) The completed template to be emailed to [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

For those renewing their DBS check then the application may be submitted to the Authority 3 months prior to the expiry date on the Enhanced DBS Certificate or electronic ID Badge.

#### **3.2 DBS process email, Online DBS System (link) & Pre-verification.**

Once the DBS application has been received and approved, the Passenger Transport Unit will email the applicant directly with the next stage of their DBS process.

This email will also contain a Privacy Notice (Appendix G) plus Safeguarding Children and young People Policy, the declaration (Appendix D) will need to be signed by the applicant to confirm that the applicant has read and understood these policies, and returned to [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

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<sup>1</sup> <https://www.gov.uk/guidance/dbs-check-requests-guidance-for-employers>

The Passenger Transport Unit will then initiate the DBS application, the applicant should receive a link within 72 hours to their personal email address from the online Powys County Council DBS System<sup>2</sup>. (Powys County Council is the registered and leading body for the region.)

The online DBS System email consists of a link to the website with a username and steps to generate a password. The link must be completed by the applicant and submitted for the next stage verification.

### **3.3 Verification**

To verify the applicant's identity the Transport Operator or applicant will need to send to [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk) , three valid forms of identification<sup>3</sup> (Appendix B) and a recent photo of the applicant (headshot only with a plain clear background).

Driver's will also forward their valid driving licence (this can also be used as a form for identification) and their CPC card or valid Taxi badge.

If any documents provided for verification are not eligible this will result in a delay.

### **3.4 Verified DBS applications & DBS Certificate results.**

The applicant will receive an email, where they can track the progression of their DBS application through the following stages<sup>4</sup>:

- Stage 1: Application received and validated with Powys County Council, as the registered and leading umbrella body to process the DBS application.
- Stage 2: Police National Computer (PNC) searched.
- Stage 3: Adults' and Children's Barred Lists
- Stage 4: Search of records held by the police.
- Stage 5: Results confirmed and DBS certificate issued.

### **3.5 DBS Certificate Supplied**

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<sup>2</sup> [Employment Check](#)

<sup>3</sup> [ID checking guidelines for standard/enhanced DBS check applications from 1 July 2021 - GOV.UK \(www.gov.uk\)](#)

<sup>4</sup> [Police role in the DBS checking process - GOV.UK \(www.gov.uk\)](#)



When the applicant has received the DBS Certificate at their home address, the Transport Operator or applicant will need to e-mail a copy of all pages to [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk) (all pages to be visible and clear).

The content of the disclosure certificate will be used to assist the Passenger Transport Unit in determining whether the applicant is 'fit and suitable'.

#### **4.0 DBS certificates from other Local Authorities or the DBS update Service.**

The Passenger Transport Unit can accept another Local Authorities Enhanced DBS Certificate every three years (refer to section 4.1) and the DBS update Service<sup>5</sup> will be accepted on an annual basis (refer to section 4.2). Providing the Enhanced DBS Certificate meets the criteria of Home to School and Social Services Transport contracts.

#### **4.1 Enhanced DBS Certificates produced by another Local Authority**

Certificates produced by another Local Authority must be within three months of the issue date and meets the conditions of an enhanced DBS Certificate for Neath Port Talbot Home to School and Social Services contracts, with "workforce child & adult" and position applied for contract work."

##### **4.1.1 Step1- Application and Payment**

Drivers or Passenger Assistants applying to obtain an authorised Neath Port Talbot Council Passenger Transport Unit's electronic ID badge for Home to School and Social Services Transport contracts, will initially make payment for the administration and electronic ID badge, via the Neath Port Talbot Council website.

Once the payment has been successful, the applicant will complete the application (Appendix A) and return to the Passenger Transport Unit, [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

##### **4.1.2 Step 2- Providing documents.**

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<sup>5</sup> [DBS Update Service - GOV.UK \(www.gov.uk\)](http://www.gov.uk)

Drivers will be required to supply a valid copy of their driving licence (front and back), and CPC card (front and back) or valid Taxi badge, whichever is applicable to the position applied for.

For new Passenger Assistants to the Passenger Transport Units system will also provide one valid proof of identity (i.e. passport, driving licence, birth certificate etc).

Drivers and Passenger Assistants will also provide a true resemblance photograph (headshot only with a clear light background).

Documents must be sent by emailing to: [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

## **4.2 DBS update Service<sup>6</sup>**

When a Driver or Passenger Assistant is signed up to the DBS Update Service, the Passenger Transport Unit will accept this system of Enhanced DBS check, on an annual basis. On the conditions that the enhanced DBS Certificate meets the criteria of Home to School and Social Services Transport Contracts.

### **4.2.1 Step 1, Payment and application.**

Driver or Passenger Assistant applying to renew or acquire a new ID badge will initially make payment for the administration and electronic ID badge, via the Neath Port Talbot Council website.

Once the payment has been successfully made, the applicant will complete the application (Appendix A) and return to the Passenger Transport Unit, [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

### **4.2.2 Step 2, Providing consent to the online update service.**

The Driver or Passenger Assistant must complete and sign the consent form (Appendix C), giving consent for Passenger Transport Unit Officers to access the level of check and information that has been uploaded to the update service.

### **4.2.3 Step 3, Producing documents to Passenger Transport Unit**

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<sup>6</sup> <https://www.gov.uk/dbs-update-service>

The application and consent form (4.2.1 & 4.2.2 above) along with the Enhanced DBS Certificate once received to be emailed to [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

Drivers will also need to forward a valid copy of their driving licence (front and back), CPC card (front and back) or valid Taxi badge.

New Passenger Assistants must provide one valid proof of identity (i.e. passport, driving licence, birth certificate).

Drivers and Passenger Assistants will also provide a true resemblance photograph (headshot with a clear light background).

All above documents to be sent by email to: [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

## **5. Enhanced DBS Certificates assessment and considerations.**

The suitability or non-suitability of the applicant will be assessed using the information declared on the Enhanced DBS Certificate aligned with the Offences Criteria listed in Appendix E. The assessment and determination will consider:

- Whether the conviction(s) or other matters revealed are relevant to the position (Driver or Passenger Assistant), on Home to School and Social Services transport Contracts.
- The seriousness of any offence or other matter revealed.
- The length of time since the offence or other matter occurred.
- Whether the applicant has a pattern of offending behaviour or other relevant matters
- Whether the applicant's circumstances have changed since the offending behaviour or other relevant matters and,
- The circumstances surrounding the offence and the explanation(s) offered by the convicted person.

Hackney Carriage and Private Hire drivers are exempt from the "**Rehabilitation of Offenders Act 1974**"<sup>7</sup>, this means that even spent convictions can be taken into consideration when the

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<sup>7</sup> <https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974>

authority is deciding whether an applicant is a 'fit and proper' person.

The Passenger Transport Unit may also consider spent convictions for PCV Drivers and Passenger Assistants, when deciding whether an applicant is a 'fit and proper' person to work on Home to School and Social Services transport contracts.

### **5.1 Approved DBS Certificates and Electronic ID Badge**

If the Enhanced DBS Certificate is approved by the Passenger Transport Unit, then Transport Operator will receive an email containing the electronic ID badge for their records. It is then the responsibility of the Transport Operator to forward the electronic ID badge onto the Driver or Passenger Assistant, where they are able to download the electronic ID badge and save it to their electronic device (mobile phone).

Electronic ID badges are in place to validate the Driver and Passenger Assistant has attained a valid DBS check to undertake Home to School and Social Services Transport Contracts.

### **5.2 Declined DBS Certificates**

If there are cautions/convictions shown on the DBS Certificate which are a cause for concern, then the application will be declined. The applicant and the relevant operator will be advised in writing via email that the applicant is not approved and may appeal the decision (Section 11).

If the applicant is not approved, the applicant has no right to a refund for the service.

## **6. Immigration assessment and right to work in the UK.**

All Applicants must have lawful permission to reside or work in the UK by providing the relevant documentation.

### **6.1 British or Irish Citizens.**

If the applicant is British or Irish citizen then a passport or a Full birth certificate can be presented (originals), to enable the Passenger Transport Unit to confirm eligibility to work within the UK.

If the applicant has been living in another country (for a period of 12 months or more), they may also be required to produce a “Certificate of Good Conduct from the relevant embassy).

## **6.2 Applicants from a Non-UK Country.**

Applicants from a non-UK Country, who have not lived in the United Kingdom prior to their sixteenth birthday, are required to complete a DBS check and obtain a certificate of good conduct authenticated and translated by the relevant embassy. This will also apply to any applicant that has lived in any country (except the UK) for 12 months or more (whether continuously or in total) in the last 10 years, while aged 18 or over”<sup>8</sup>. This is to ensure that a complete historical criminal check can be carried out on the applicant.<sup>9</sup>

## **6.3 Government Assistance (Home Office)**

The Home Office’s employers Helpline (0300 123 4699) can be used to obtain general information in immigration documentation. Employers/Operators and the Passenger Transport Unit are also able to obtain case specific immigration status information, including whether an applicant is permitted to work or details of work restrictions from the Home Office.

## **6.4 Safeguarding applicants with the right to work in the UK.**

For checks revealing that an applicant has limited lawful permission to reside or work in the UK. The Passenger Transport Unit may issue a shorter duration on the Driver or Passenger Assistant’s ID badge.

If the Passenger Transport Unit cannot confirm that the applicant is entitled to reside or work in the UK, then the Transport Unit will

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<sup>8</sup> <https://www.gov.uk/government/publications/criminal-records-checks-for-overseas-applicants>

<sup>9</sup> Criminal records checks for overseas applicants - GOV.UK (www.gov.uk).

request to undertake immigration checks in accordance with the Immigration Act 2016<sup>10</sup>.

The Passenger Transport Unit will not issue an Identification Badge to any applicant who does not have lawful permission to reside or work in the UK; this is in accordance with the Immigration Act 2016.

Applicants that do not have either a UK Passport or UK Birth Certificate, cannot prove the right to work in the UK by supplying immigration documents<sup>11</sup> or online access sharing code for the right to work. Should contact the Passenger Transport Unit via [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk) to discuss whether any alternative documentation can be accepted.

## **7.0 DBS Approved Identification Badge.**

### **7.1 ID Badge interval**

Home to School and Social Services Transport Electronic ID badge will be valid for a three-year period (pending the right to work) and the online update service will be yearly.

However, the Passenger Transport Unit does have the discretion to issue for a shorter duration if it considers this to be appropriate.

### **7.2 ID Badge accessibility**

The Electronic ID badge issued by the Passenger Transport Unit, must be present whilst undertaking any Home to School and Social Services transport contracts. The ID Badge must be available to be inspected at any point.

### **7.3 Misplaced ID badges**

Where an Electronic ID badge has been misplaced, a replacement must be obtained as soon as possible. For a replacement driver's Electronic ID badge, the applicant must provide evidence that they remain entitled to drive by providing the appropriate driving licence and /or hackney carriage, private hire licence and CPC Card.

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<sup>10</sup> <https://www.gov.uk/government/collections/immigration-bill-2015-16>

<sup>11</sup> <https://www.gov.uk/prove-right-to-work>

## **8.0 Review of fees**

In general, the fees for the DBS application, administration and the electronic ID badges will be reviewed annually between January and March for implementation on 1 April. However, the Passenger Transport Unit reserves the right to review the fees at any point.

Applications where payments have also been made but applicants have not supplied the relevant documentation to verify the DBS application, after 6-month period will automatically be archived and the payment made will be refunded.

## **9.0 Safeguarding Training**

When operating Home to School and Social Services Transport Contracts, the Transport Operator shall ensure that any person employed as a Driver or Passenger Assistant shall be trained in Safeguarding Children and vulnerable adults, within 6 months of performing Services under the Passenger Transport Conditions of Contract.

## **10.0 Suspension of suitability to work on home to school and Social Services transport.**

### **10.1 Suitability**

Where the Passenger Transport Unit considers a person is no longer 'fit and proper', they may suspend or revoke a driver or passenger assistant from working on Home to School and Social Services transport contracts. This could be for a specified period or permanently depending on the nature.

Authorised officers of The Passenger Transport Unit shall be permitted to revoke a person from working on Home to School and Social Service transport contracts with immediate effect, where it is considered in the best interest of public safety to do so.

### **10.3 Suitability awareness**

If a Driver or Passenger Assistant is suspended and no longer meets the criteria to work on Home to School and Social Services Transport Contracts. Then The Passenger Transport Unit may

advise neighbouring transport authorities, if it is believed that the Driver or Passenger Assistant might have permission to work on neighbouring authorities Home to School and Social Services contracts.

#### **10.4 Lifting of suspension.**

Suspension can only be lifted once consent has been given by the Passenger Transport Unit only.

#### **11.0 Appeals (ID badge not approved)**

The appeals process allows for the Driver or Passenger Assistant who has been declined permission to work on Home to School and Social Services transport contracts to request the decision be reviewed.

#### **11.1 Appeals**

The request for an appeal will need to be considered by the Passenger Transport Unit Manager. The applicant will be advised and notified in writing of the date and time of the meeting.

#### **11.2 Rejected Appeals**

If the appeal application is then also refused by the Passenger Transport Unit Manager, the applicant has the right of further appeal to the Head of Service within 21 days of receiving written notice of refusal. The Head of Service will convene and Chair an impartial Appeals Panel to further consider the appeal.

#### **12.0 Conclusion**

The DBS Policy and Procedures has been implemented for operational improvements and guidance for Transport Operators and their employees when applying for work on Home to School and Social Services Transport Contracts. The Policy will be reviewed regularly to ensure that the policy remains relevant and up to date with changes in regulations and the requirements of successful contracts.



If there are any queries in relations to the policy, please contact [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

## APPENDIX A.

### DBS application for Contract Work.

DBS Application Form Template. The application is emailed to all operators to assist their employee's. Should you require a copy of the DBS Process – please request by emailing [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

	Serial No. 001 NEI
Please complete <u>all</u> fields below & ensure the information entered is accurate before submitting. <b>**Typing errors cannot be identified in this process.**</b>	
<b>APPLICANT DETAILS</b>	
Forename (First Name Only):	
Surname:	
Name of Company:	
Contact Number:	
Position:	
Workforce Barred List check (Please only select applicable)	
If Selected ADULT Check, Please provide contract number	
Email address for DBS Applicant (Personal ONLY)	
Payment Reference Number	
*Did you move to the UK after 16 years of age?	
*Did you live in any country (except the UK) lived for 12 months or more (whether continuously or in total) in the last 10 years, while aged 18 or over?	
*If the applicant answers YES to EITHER of the above two question(s) the applicant would need to apply for a " <b>Certificate of Good Conduct</b> " from the relevant Embassy within the UK. DBS Applications cannot be processed until the certificate of good conduct has been received.	
<b>Please forward completed template to <a href="mailto:dbs-itu@npt.gov.uk">dbs-itu@npt.gov.uk</a></b>	

## **APPENDIX B**

### **Identification guidelines.**

The DBS ID guidelines classify documents into three different groups. These are Group1, Group 2a and Group 2b.

List of Valid Identity Documents (EEA-nationals)

#### **Group 1 – Primary Trusted Identity Credentials**

- Current valid Passport – Any current or valid passport
- Biometric Residence Permit (UK)
- Current Driving Licence Photo card (UK/Isle of Man/Channel Islands and EU) Full or Provisional
- Birth Certificate (UK & Channel Islands) - issued within one year of date of birth; Full or short form acceptable including those issued by UK authorities overseas, such as Embassies, High Commissions and HM Forces
- Adoption Certificate (UK and Channel Islands)

#### **Group 2a – Trusted Government/State Issued Documents**

- Old Style Paper Driver Licence (UK/Isle of Man/Channel Islands and EEA)
- Current Driving Licence Photo card (All other countries outside the EEA excluding Isle of Man and Channel Islands)
- Certified Copy of Birth Certificate (UK & Channel Islands) - issued after 12 months of date of birth.
- Marriage/Civil Partnership Certificate (UK and Channel Islands)
- HM Forces ID Card (UK)
- Firearms Licence (UK)
- Immigration document, visa or works permit (issued by country outside the EEA. Valid only for roles where the applicant is living and working outside of the UK. Visa/permit must relate to the non-EEA country in which the role is based)

## **Group 2b - Financial/Social History Documents**

- Bank/Building Society Statement (UK, Channel Islands and EEA) \*
- Bank/Building Society Statement (Countries outside the EEA) \*
- Credit Card Statement\*
- Utility Bill (UK. Mobile phone bills and electronic bills are not accepted) \*
- Benefit Statement e.g. child allowance, pension\*
- Document from Government giving entitlement i.e. DWP, Job Centre\*
- Mortgage Statement (UK or EEA) \*\*
- Financial Statement e.g. pension, endowment (UK) \*\*
- P45/P60 (UK and Channel Islands) \*\*
- Council Tax Statement (UK and Channel Islands) \*\*
- Bank/Building Society Account Opening Confirmation Letter (UK) \*
- Letter of sponsorship from future employment provider (non-UK or non-EEA only - valid only for applicants residing outside of the UK at time of application)
- EEA National ID Card
- Irish Passport Card (cannot be used with an Irish passport)
- Cards carrying the PASS accreditation logo (UK, Isle of Man and Channel Islands)
- Letter from Head Teacher or college principal (Only for 16 - 19-year-olds and only in exceptional circumstances)

Please note:

\* Documentation should be less than 3 months old

\*\* Issued within the past 12 months.

### **ID Verification – Non-EEA-nationals**

Non-EEA-nationals who wish to volunteer must use Route 1 of the ID checking process outlined above. If you are unable to provide the documentation for Route 1 then you must proceed to Route 1a as outlined for paid employees below. Should you be unable to complete this route then you must proceed to fingerprinting. You cannot use any other routes.

Non-EEA-nationals undertaking paid work, must be able to show one primary document and two supporting documents. If you are unable to provide this documentation you cannot submit a DBS

Check because the right to work in the UK cannot be established.  
You cannot use any other route.

### **Primary Documents**

- A Permanent Residence Card issued by the Home Office to the family member of a national of a European Economic Area country or Switzerland.
- A current Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office indicating that the person named is allowed to stay indefinitely or has no time limit on their stay. (UK)
- A current Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office indicating that the names person can currently stay and is allowed to do the work in question. (UK)
- A current passport endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has the right of abode in the UK, or has no time limit on their stay in the UK. (Any current and valid Passport.)
- A current passport endorsed to show that the holder is allowed to stay in the UK and is currently allowed to do the type of work in question. (Any current and valid Passport.)
- A Certificate of Application issued by the Home Office under regulation 17(3) of the Immigration (European Economic Area) Regulations 2006, to a family member of a national of a European Economic Area country or Switzerland stating that the holder is permitted to take employment which is less than 6 months old together with a Positive Verification Notice from the Home Office Employer Checking Service. (UK)
- An Application Registration Card issued by the Home Office stating that the holder is permitted to take the employment in question, together with a Positive Verification Notice from the Home Office Employer Checking Service. (UK)
- A Positive Verification Notice issued by the Home Office Employer Checking Service to the employer or prospective employer, which indicates that the named person may stay in the UK and is permitted to do the work in question.
- A current Residence Card (including an Accession Residence Card or a Derivative Residence Card) issued by the Home Office to a non-European Economic Area national who is a family member of a national of a European

Economic Area country or Switzerland or who has a derivative right of residence.

- A current Immigration Status Document containing a photograph issued by the Home Office to the holder with a valid endorsement indicating that the named person may stay in the UK and is allowed to do the type of work in question, together with an official document giving the person's permanent National Insurance number and their name issued by a government agency or a previous employer.
- A current Immigration Status Document issued by the Home Office to the holder with an endorsement indicating that the named person is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK, together with an official document giving the person's permanent National Insurance number and their name issued by a government agency or previous employer.

## APPENDIX C

### **DBS UPDATE SERVICE – CONSENT FORM**

The consent form is to check the status of an existing prescription with the online DBS update service. The DBS Certificate would be required to meet the criteria for Home to School and Social Services contract, with NPTCBC Passenger Transport Unit.

Status checks are pending approval from the Passenger Transport Units officers issuing or extending a DBS Approved or Passenger Assistant ID badge, to work on Home to School and Social Services contracts.

Name of applicant

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ID Badge Number (if applicable)

---

DBS Certificate Number

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Date of birth

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I confirm that I give ongoing consent for Neath Port Talbot Council to access the Update Service to provide up-to-date information in relation to my criminal record DBS certificate.

By signing this form, you confirm that you are registered with the update service you give permission for NPTCBC Passenger Transport Unit, to carry out a status check with the DBS Certificate that is linked with the DBS online update service.

You are also confirming acceptance to produce the DBS Certificate connected to the DBS update service and any further information required to carry out the DBS status check.

Signature of applicant

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Date

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## APPENDIX D



Cyngor Castell-nedd Port Talbot  
Neath Port Talbot Council

### Disclosure and Barring Service Request & Declaration Neath Port Talbot Council (Passenger Transport Unit).

#### Applicant Details-

Title:
First Name:
Middle Name:
Surname:
Nationality:

#### Declaration-

- I have read and understood- the Safeguarding Children and Young People Policy Statement-Transport Service.
- I have read and understood the Privacy Notice
- I can confirm I have the right to work in the UK - Yes / No (Please select applicable)
  - Required by section 23(2) of the immigration, Asylum and Nationality Act 2006
- Do you have UK employment restrictions? – Yes / No (Please select applicable)
  - (If yes, please provide details.....)



- By completing this form, I consent to the transfer of my information to the Disclosure and Barring Service for the purpose of the DBS application.
- I understand the results received from the DBS Certificate are shared with the registered body that have checked and submitted the DBS application. The results received are either blank or contain a positive result which identifies the DBS Certificate contains information.

**WE CANNOT CONTINUE WITH APPLICATIONS IF ALL  
THE INFORMATION HAS NOT BEEN  
COMPLETE/SIGNED AND RETURNED TO  
[dbs-iut@npt.gov.uk](mailto:dbs-iut@npt.gov.uk)**

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Applicants Full name.....

Applicant's Signature .....

Date.....

## **Appendix E**

### **Offences Criteria for Drivers & Passenger Assistants**

#### **1.0 General policy**

- 1.1 Each case will be decided on its own merits.
- 1.2 A person with a conviction for a serious offence need not be automatically barred from obtaining an ID Badge, but would normally be expected to:
  - a. Remain free of conviction for an appropriate period (as set out below); and
  - b. Show evidence that he or she is a fit and proper person (the onus is on the applicant to produce such evidence).
- 1.3 For the purposes of this Policy, “other matters to be considered” may include but are not limited to the following:
  - a) Criminal / motoring convictions.
  - b) Court Martial.
  - c) Cautions.
  - d) Fixed penalty notices or other penalty notices.
  - e) Anti-social behaviour orders or other similar orders.
  - f) Breach of licensing conditions.
  - g) Formal Warnings or Reprimands.
  - h) Charges or matters awaiting trial.
  - i) Fitness and propriety.
- 1.4 Where an applicant / ID badge holder has a conviction or other matter to be considered for an offence of aiding, abetting, attempting, conspiring, counselling, procuring, causing, permitting, or inciting any of the criminal or motoring convictions / matters specified in this guidance, they will be considered relevant for the substantive matter.

1.5 The Rehabilitation of Offenders Act 1974 (Exceptions)(Amendment) Order 2002<sup>12</sup>, allows the Authority to consider all convictions recorded against an applicant, whether spent or not. Therefore, the Passenger Transport Unit will analyse all relevant convictions, particularly where there is a long history of offending or a recent pattern of reoffending.

## **2.0 Consideration of disclosed criminal history**

Convictions for attempt or conspiracy will be regarded as convictions for the substantive crime. A caution is regarded in the same way as a conviction (A). Fixed penalties and community resolutions will also be considered in the same way as a conviction.

A - Is because a caution can only be imposed following an admission of guilt, which is equivalent to a guilty plea on prosecution.

B -This is because payment of a fixed penalty indicates acceptance of guilt, and a community resolution can only be imposed following an admission of guilt

It is important to recognise that matters which have not resulted in a criminal conviction (whether that is the result of an acquittal, a conviction being quashed, decision not to prosecute or an investigation which is continuing where the individual has been bailed) can and will be considered. In addition, complaints where there was no police involvement will also be considered. Within this policy, any reference to "conviction" will also include matters that amount to criminal behaviour, but which have not resulted in a conviction.

Where an applicant has more than one conviction showing a pattern or tendency irrespective of time since the convictions, serious consideration will need to be given as to whether they are a safe and suitable person.

## **3.0 Crimes resulting in death.**

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<sup>12</sup> [The Rehabilitation of Offenders Act 1974 \(Exceptions\) \(Amendment\) Order 2002 \(legislation.gov.uk\)](http://legislation.gov.uk)

Where an applicant has been convicted of a crime which resulted in the death of another person or was intended to cause the death or serious injury of another person they will not be approved.

#### **4.0 Exploitation**

Where an applicant has been convicted of a crime involving, related to, or has any connection with abuse, exploitation, use or treatment of another individual irrespective of whether the victim or victims were adults or children, they will not be approved. This includes slavery, child sexual exploitation, grooming, psychological, emotional, or financial abuse, but this is not an exhaustive list.

#### **5.0 Violence**

Where an applicant has a conviction for an offence of violence, or connected with any offence of violence, an application will not be granted, or existing ID badges suspended or revoked until at least 10 years have elapsed since the completion of any sentence imposed.

#### **6.0 Possession of a weapon**

Where an applicant has a conviction for possession of a weapon or any other weapon related offence, an application will not be granted, or existing ID badges suspended or revoked until at least 7 years have elapsed since the completion of any sentence imposed.

#### **7.0 Sex and indecency offences**

Where an applicant has a conviction for any offence involving or connected with illegal sexual activity or any form of indecency, an application will not be granted, or an existing ID badge suspended or revoked. In addition to the above, the licensing authority will not grant a licence to any applicant who is currently on the Sex Offenders Register or on any 'barred' list.

#### **8.0 Dishonesty**

Where an applicant has a conviction for any offence of dishonesty, or any offence where dishonesty is an element of the offence, an application will not be granted, or an existing ID badge suspended

or revoked until at least 7 years have elapsed since the completion of any sentence imposed.

## **9.0 Drugs**

9.1 Where an applicant has any conviction for, or related to, the supply of drugs, or possession with intent to supply or connected with possession with intent to supply, an application will not be granted, or an existing ID badge suspended or revoked until at least 10 years have elapsed since the completion of any sentence imposed.

9.2. Where an applicant has a conviction for possession of drugs, or related to the possession of drugs, an application will not be granted, or an existing ID badge suspended or revoked until at least 5 years have elapsed since the completion of any sentence imposed. In these circumstances, any applicant will also have to undergo drugs testing at their own expense to demonstrate that they are not using controlled drugs.

## **10.0 Discrimination**

Where an applicant has a conviction involving or connected with discrimination in any form, an application will not be granted, or existing ID badges suspended or revoked until at least 7 years have elapsed since the completion of any sentence imposed.

## **11.0 Driving offences for consideration of suitability of drivers.**

Note: Passenger Assistants may be exempt from section 11 to 13 at the discretion of Passenger Transport Unit.

**11.1 Driving offences involving the loss of life**, is profoundly serious matter to be considered for a driving offence that resulted in the loss of life.

Viewpoint is to be taken seriously of any applicant or existing ID Badge holder who has a conviction or other matter to be considered for a driving offence that resulted in the loss of life.

## **12.0 Drink driving/driving under the influence of drugs/using a hand-held telephone or handheld device whilst driving.**

12.1 Where an applicant has a conviction for drink driving or driving under the influence of drugs, a licence will not be granted until at least 7 years have elapsed since the completion of any sentence or driving ban imposed. In these circumstances, any applicant will also have to undergo drugs testing at their own expense to demonstrate that they are not using controlled drugs.

12.2 Where an applicant has a conviction for using a held-hand mobile telephone or a hand-held device whilst driving, a licence will not be granted until at least 5 years have elapsed since the conviction or completion of any sentence or driving ban imposed, whichever is the later.

### **13.0 Motoring Convictions**

#### **13.1 Major Traffic Offences**

A major traffic or vehicle related offence is one which is not covered above and any offence which resulted in injury to any person or damage to any property (including vehicles). It also includes driving without insurance, or any offence connected with motor insurance. Where an applicant has a conviction for a major traffic offence or similar offence, an application will not be granted, or existing ID badges suspended or revoked until at least 7 years have elapsed since the completion of any sentence imposed.

#### **13.2 Minor Traffic Offences**

A minor traffic or vehicle related offence is one which does not involve loss of life, driving under the influence of drink or drugs, driving whilst using a mobile phone, and has not resulted in injury to any person or damage to any property (including vehicles). Where an applicant has 7 or more points on their DVLA licence for minor traffic or similar offences, a licence will not be granted until at least 5 years have elapsed since the completion of any sentence imposed.

### **14.0 Outstanding charges or summonses**

If the applicant is the subject of an outstanding charge or summons their application can continue to be processed, but in the interest of public safety the matter will be considered and may be deferred for determination until proceedings are concluded.

### **15.0 Non-conviction information**

If an applicant or existing ID Badge holder has been arrested or charged, but not convicted, for a serious offence which suggests he/she could be a danger to the passengers and carers, consideration should be given to refusing or suspending / revoking the application / ID Badge.

### **16.0 Repeat offending**

While it is possible that an applicant may have several convictions or other matters to be considered that individually meet the above guidelines, an application will normally be refused where an applicant has a record of repeat offending which shows a lack of regard for the well-being of others or for property.

## **Appendix F**

### Frequently asked Questions and Answers

#### **Q. How do I get a new DBS Certificate or Valid ID badge?**

A. The Operator will receive the DBS documents via email, this can be passed on to the Drivers or Passenger Assistants. The DBS email contains all the relevant information that is necessary to attain a DBS Certificate and/ or a valid electronic ID.

#### **Q. I have made payment, but I've not completed the DBS application form (spreadsheet)**

A. To proceed with any DBS application the DBS application form included in the original DBS email would need to be completed and returned to [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk)

Payments that have been made and no DBS application has been received, the payment will automatically be cancelled after three months of receipt of payment. If the payment details are still valid then a refund would automatically be processed.

#### **Q. I have made payment and completed the application.**

A. Once this has been received at [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk) if all information is correctly received the link will be set up for the applicant. The link can take up to 72 hours to arrive at the applicant's personal email address provided. The link must be completed and submitted back with correct information declared. This will then be ready for verification. (Declaration form **Appendix D** will also need to be received and complete for the Passenger Transport Unit to continue with verifying the application).



**Q. I have now completed the online DBS system link, what do I do next?**

A. Once the online DBS link has been completed and submitted, the applicant will then be at the verification stage. For the Passenger Transport Unit to verify the DBS application three valid documents are required (see appendix B).

**Q. I have now received the DBS Certificate, how do I obtain a valid ID badge (pending approval from the Passenger Transport Unit)?**

A. All pages of the DBS Certificates are to be emailed to [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk) (in a confidential manner).

**Q. Where is my DBS Certificate after it has been verified by the Passenger Transport Unit?**

A. DBS application that has been successfully verified by the Passenger Transport Unit and has been countersigned by the registered body (Powys), the applicant would then receive an email to their direct email address provided, from the online DBS system<sup>13</sup>. Which will enable the DBS applicant to track the progression and stages of their DBS Certificate.

DBS Certificates/Applications cannot be escalated until the application has been at the final stage only for a period of 60 days or more. After the 60 days have gone at the final stage 4 then please email us your query at [dbs-itu@npt.gov.uk](mailto:dbs-itu@npt.gov.uk) or the applicant can contact the national DBS directly.

**Q. Does NPTCBC Passenger Transport accept another Local Authorities DBS or the update Service?**

A. The Council will only accept Enhanced DBS disclosure certificates which are for other workforce child & adult for “contract work”, with the correct barred list checked.

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<sup>13</sup> <https://neathporttalbot-powyscountycouncil.employmentcheck.org.uk/login>

## **APPENDIX G**

### **Privacy Notice**

1. In providing us with your personal information you hereby acknowledge that Neath Port Talbot County Borough Council is the Data Controller for all the personal information you provide to us (for the purpose of the General Data Protection Regulation 2016 (GDPR) and the Data Protection Act 2018 (DPA)).
2. The personal data which we collect from you will be used by the Council (pursuant to it carrying out its various statutory and business functions) for the following purpose:
  - i. Provide safe and efficient transport services.
3. As a Data Controller the Council is required under GDPR to inform you which of the Article 6 GDPR “Data Processing Conditions” it is relying upon to lawfully process your personal data. In this respect please be advised that in regards to the data provided by you on this form we are relying on the following two Article 6 conditions;
  - i. “The data processing is necessary for compliance with a legal obligation to which the controller is subject”. (Article 6(c) GDPR).
  - ii. “The data processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.” (Article 6(e) GDPR).
4. We will not share your personal data with any third parties (i.e. persons/bodies/entities outside the Council) unless we are required to do so by law.
5. The personal information collected from you on this form will be held by the Council for a period of up to 280 hours on the CCTV hard drive memory device until the footage is overwritten.

6. Please note that we are required to collect certain personal data under statutory requirements and in such cases a failure by you to provide that information to us may result in the Council being unable to provide you with a service and/or could render you liable to legal proceedings.
7. We would inform you that under Article 21 GDPR you have the right at any time to object to the Authority about the fact that we are processing your personal data for the purposes of carrying out a public task or exercising our official authority.
8. The Council will not transfer any of your personal data outside of the European Union. All processing of your personal data by us will be carried out in the United Kingdom or other European Union countries.
9. The Council will not use your personal data for the purposes of automated decision making.
10. Please be advised that under GDPR individuals are given the following rights in regards to their personal data:
  - i. The right of access to their personal data held by a data controller.
  - ii. The right to have inaccurate data corrected by a data controller.
  - iii. The right to have their data erased (in certain limited circumstances).
  - iv. The right to restrict the processing of their data by a data controller (in certain limited circumstances).
  - v. The right to object to their data being used for direct marketing.
  - vi. The right to data portability (i.e. electronic transfer of data to another data controller).Further information on all the above rights may be obtained from the Information Commissioner's website:  
[www.ico.org.uk](http://www.ico.org.uk).
11. In the event that you have any queries regarding our use of your personal data, you wish to have access to the same or you wish to make any complaint regarding the processing of your personal data please contact the Council's Data Protection Officer at the Directorate of Finance & Corporate Services, Civic Centre, Port Talbot, SA13 1PJ.
12. Please be advised that in the event that you make a request or a complaint to the Council's Data Protection Officer (see 11 above) and you are dissatisfied with the Council's response you are entitled to complain directly to the

Information Commissioner's Office. Details of the Commissioner's Office contact details and further information on your rights may be obtained from the Commissioner's website – [www.ico.org.uk](http://www.ico.org.uk).