

# Criminal record assessment [Template]

## About

### About this template

This template relates to assessing criminal records. More guidance on this template (including updates) can be found by searching for "[assessing criminal records](https://www.recruit.unlock.org.uk)" on [recruit.unlock.org.uk](https://www.recruit.unlock.org.uk).

### Acknowledgment

This template has been produced as part of *Recruit!*, a website<sup>1</sup> which supports UK employers in the fair treatment of people with criminal records. Visit [recruit.unlock.org.uk](https://www.recruit.unlock.org.uk) for more information.

## Purpose

This form should be completed:

1. When a conditional offer has been made and an applicant has disclosed a criminal record on a self-disclosure form.
2. When an undisclosed criminal record of an applicant or existing employee has been discovered
3. When an existing employee has transferred to a role that requires a higher level of disclosure.

## How to use it

1. For applicants, this should be completed before their offer of employment is confirmed.
2. The majority of the assessment can be completed before an official disclosure has been obtained.
3. The assessment is made up of two parts:
  - a. An initial assessment
  - b. A disclosure discussion
4. Once completed, this form should be stored on the individual's personnel file (if appointed) or held for a limited time only (if refused).
5. This assessment should be reviewed at any stage when circumstances materially change.
6. Information for applicants about this is outlined in the '*Applicants with a criminal record*' policy.

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<sup>1</sup> *Recruit!* is managed by Unlock, a charity that works to achieve a fair and inclusive society where people with convictions can move on positively in their lives. Visit [www.unlock.org.uk](https://www.unlock.org.uk) for more information.

## Part A – Initial assessment

[This should be completed once the self-disclosure form has been returned.]

Applicant name					
Date of birth					
Role applied for					
Level of official disclosure to be carried out	N/A	Basic	Standard	Enhanced	Enhanced & Barred
Date of initial assessment					
Name of assessor (1)				Member of HR	
Name of assessor (2)				Line Manager	
Copy of self-disclosure attached? (tick)		Date form completed			

	Traffic light	Category	Tick	Explanation
Is a disclosure discussion necessary?	No - Green	Not relevant (e.g. old or minor)		
		Didn't need to disclose (e.g. spent or filtered)		
	Yes - Amber	Potential concerns		
	No - Red	Not possible to offer position (e.g. against company policy, legally barred from role)		

1. If the initial assessment is Green or Red:
  - a. If an official criminal record disclosure is being carried out, move to Part F;
  - b. If not, move to Part G.
2. If the initial assessment is Amber, move to Part B.

## Part B – Disclosure discussion

Date of discussion		
Those present		
<b>Questions</b>	<b>Y/N/NA</b>	<b>Details</b>
Did the applicant's explanation correspond with their self-disclosure?		
When did the offence occur?		
At what age was the offence committed?		
Was the offence a single occurrence?		
If multiple offences, were they part of a pattern of offending behaviour?		
Were there circumstances surrounding the offence? If so, what were they?		
What was their attitude to the offence?		
Has the applicant's circumstances changed since the offence? If so, how?		
Is the applicant taking part in any relevant programmes?		
Is the applicant barred from working in regulated activity (if applicable) with children and/or adults?		
Are there any sentence restrictions or requirements relevant to the role?		

What other questions might be relevant to help you better understand the applicants' criminal record and its relevance to the particular role? Enter these below and note the responses provided by the applicant.

Question	Details

Provide details of any third-party information provided by the applicant or that you have obtained elsewhere (e.g. a probation reference) relating to the applicant’s criminal record.

## Part C – Assessment

[This part should be completed after the disclosure discussion. Provide details of factors you believe it is important to consider for the particular role in light of the details they provided during the disclosure discussion. Consider any additional factors and add these to the bottom.]

Question	Details
Is the offence relevant to the specific role?	
Are you satisfied with the explanation of the circumstances of the offence?	
How serious do you consider the offence to be?	Major   Moderate   Minor
Have the circumstances that contributed to the individual committing the offence changed for the better?	
Do the responsibilities involved in the role link closely to the applicant’s offending background?	
Do the responsibilities involved in the role present any opportunities for the individual to re-offend?	

## Part D – Concerns and safeguards

[Use this part to record any concerns you have as result of the above assessment, and to consider the potential measures and safeguards to mitigate these.]

### Key

Concern (examples)	Likelihood	Impact	Overall
Reoffending	1. Highly unlikely	1. Minor	1. Low
Reputation	2. Unlikely	2. Moderate	2. Medium
Contractual	3. Possible	3. Major	3. High
Legal	4. Likely		

**Concern one** [use the key above, and copy/paste the section below if necessary]

Details of the concern	
What is the likelihood of it happening?	
What would be the impact if it happened?	
What is the overall level of concern?	
What is currently done to minimise this?	
What further steps could be taken to minimise this concern?	

### Potential measures and safeguards

[Detail below the potential measures/safeguards in response to the concerns above.]

Measure / safeguard	Who is responsible? When?

## Part E – Decision pending official disclosure

[If an official disclosure is not being obtained, ignore this part and move to Part G.]

Decision	Tick	Reasons
Confirm conditional commencement in role		
Confirm conditional commencement (with measures)		
Wait for official disclosure		
Not employ		

Details of the decision (including any measures/safeguards from Part D to be actioned)	
Date discussed with the individual	

[Detail below who in the organisation has been informed, what they've been informed of, and why.]

Who	What they've been informed of	Reasons why

## Part F – Official disclosure details

[If an official disclosure is being obtained, this should be completed once it has been received.]

Level of official disclosure obtained	N/A	Basic	Standard	Enhanced	Enhanced & Barred
Are there any discrepancies between the official disclosure and self-disclosure?	Yes   No		If yes, provide details		
If there are discrepancies, are these minor or significant?	Minor   Significant   N/A		If applicable, provide details		
If 'Enhanced' or 'Enhanced & Barring', has any police intelligence been disclosed which raises additional concerns?	Yes / No / N/A		If yes, provide details		

If there are significant discrepancies/concerns, parts B, C and D should be repeated.

## Part G – Final decision

[This part should be completed in all cases where a criminal record has been disclosed.]

Decision	Tick	Reasons
Confirm appointment		
Confirm appointment (with measures)		
Not employ		

Details of the decision (including any measures/safeguards from Part D to be actioned)	
Date discussed with the individual	

Signed			
Name			
Job title		Date	

Signed			
Name			
Job title		Date	

A completed version of this assessment should be held securely on the personnel file of the individual (if appointed).