



CRIMINAL RECORD ASSESSMENT FORM

GUIDANCE NOTE:

This form is to be used for the Criminal Records Consideration Procedures¹. This form is for use by the Convictions Consideration Panel (CCP) in considering criminal records.

This form should be used:

- **For applicants:**
 - To assess the results of an enhanced DBS check that disclose a criminal record to a course of study that includes some regulated activity as a compulsory part of the course;
- **For registered students:**
 - to undertake the assessment of the results of an enhanced DBS check that disclose a criminal record;
 - When a registered student is charged with or obtains a relevant criminal offence during the course of their studies, as defined in Section B of the Criminal Records Policy, as part of the School's duty of care and in order to inform the School about any necessary next steps.

Completing this form:

- This form should be completed before the conditional offer to an applicant of a place on a course of study involving regulated activity as a compulsory part of the course is confirmed, following receipt of the results of an enhanced DBS check.
- For registered students embarking upon an optional activity requiring an enhanced DBS check (such as regulated activity²), this form should be used to assess and manage the results of the check.
- In order that the School can discharge their duties of care appropriately, this form may also be used by the Convictions Consideration Panel in the following circumstances:
 - where a registered student is charged with or convicted of a relevant criminal offence, where the matter is referred to it by the School;
 - where a 'related criminal matter' that is not a conviction (e.g. being placed on the Sex Offenders' Register) comes to light regarding a registered student

Data retention following completion of this form

- Once completed, this form should be stored as follows:

¹ See Appendix 3 and Appendix 4 to the Criminal Records Policy.

² See the Criminal Records Policy for further information regarding Regulated Activity.

For applicants:	stored securely on the applicant's file and generally held for no longer than six months after completion of the admissions process.
For registered students:	stored securely on the student's file until completion of the course of study. Generally, once admitted onto a course of study, no personal data on a student's criminal record will be kept for longer than six months after completion of that course by the student.

Contents of this form

- Depending on the circumstances of the case, not all parts of this form will be needed.
- The criminal records assessment is made up of the following parts:

Section of form	Title of section	Relevant Tables for completion	Pages of form where section is located	Completion required by CCP?
A)	Applicant/Student Details & Initial Assessment	Tables A1, A2, A3	Pages 3-4	Essential – CCP should complete this section in full in all cases
B)	Convictions Consideration Panel Disclosure Discussion	Tables B1, B2, B3	Pages 5-6	If relevant – CCP should complete this section of the assessment if the result of the initial assessment is Amber
C)	Case Assessment following Disclosure Discussion	Tables C1, C2, C3	Page 7	If relevant – CCP should complete this section of the assessment if they have undertaken Part B of the assessment (the Disclosure Discussion)
D)	Risk Assessment: Concerns and Safeguards	Tables D1, D2	Pages 8-10	If relevant – CCP should complete this section of the assessment if they have completed Part B and Part C of the assessment. However, the CCP may elect to undertake Part D in order to support their Final Decision (Part E)
E)	Final Decision	Tables E1, E2, E3	Pages 11-12	Essential – CCP should complete this section in full in all cases

- In all instances of the CCP reviewing criminal records data, the following sections of this form (form CCP1) should be completed and signed:
 - Applicant/Student Details & Initial Assessment (Part A), and
 - Final Decision (Part E).

Guidance notes to the criminal records assessment form

- The Initial Assessment (Part A) is undertaken by the CCP to determine whether a CCP Disclosure Discussion (Part B) is necessary i.e. to determine whether there is a need to look into the matter further.
- If no Disclosure Discussion is necessary, no case assessment (Part C) or risk assessment (Part D) should normally be necessary, and the CCP should move directly to Part F.
- However, where the Panel is satisfied that on the balance of probabilities a Disclosure Discussion is not necessary but the CCP deems it helpful to undertake the risk assessment (part D), the Panel may complete Part D of this form may be used by the Panel for a more comprehensive assessment of the case.
- **This assessment should be reviewed at any stage when circumstances materially change, to determine whether there is sufficient cause to revisit any decisions taken as a result of this assessment.** Where the CCP is satisfied that there is just cause to revisit any decisions, a fresh assessment should be undertaken in the light of any new information. Undertaking a review of the assessment, and/or conducting a fresh assessment, does not necessarily mean an original decision will change. The reasons and findings of the CCP in undertaking a fresh assessment will be communicated in writing to the applicant/student, in accordance with the Criminal Records Policy.

Part A –Applicant/Student details & Initial assessment**Table A1 Please tick relevant box to indicate status of individual**

The individual is an APPLICANT		The individual is a REGISTERED STUDENT	
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Table A2 Please complete the details of the individual whose criminal record is being assessed

Applicant / Student name	
Reference no / Student no	
Date of birth	
Course applied for / Course of Study	

Table A3 Overall purpose of assessment by the Convictions Consideration Panel (CCP)

Circumstance requiring assessment of case by the Convictions Consideration Panel	Circumstance under which this form is being completed (please check relevant box)
a) Receipt of the results of an enhanced DBS check for an applicant following an application to a course of study requiring regulated activity	<input type="checkbox"/>

b) Receipt of the results of an enhanced DBS check for a registered student for a course pathway/option involving regulated activity	<input type="checkbox"/>
c) Referral by the CEO/Principal (or nominee) that a registered student has been charged with a criminal offence	<input type="checkbox"/>
d) Referral by the CEO/Principal (or nominee) that a registered student has obtained a criminal conviction	<input type="checkbox"/>
e) Referral by the CEO/Principal (or nominee) of a related criminal matter concerning a registered student (see Section A of the Criminal Records Policy)	<input type="checkbox"/>

Table A4 Convictions Consideration Panel (CCP) Details

Date of initial assessment		
Name of CCP assessor (1)		Role
Name of CCP assessor (2)		Role

Table A5 INITIAL ASSESSMENT

The CCP should complete this section using the Consideration Criteria (Appendix 2).

INITIAL ASSESSMENT	Traffic light	Reason(s)	Tick	Explanation / Notes	Agreed Next Step
Is a disclosure discussion necessary?	No – Green	Conviction(s) not relevant (e.g. old or minor, spent or filtered)			
	Yes - Amber	Potential concerns; need for more information			
	No - Red	Not possible to offer place/authorise individual to undertake regulated activity			

Part B – Convictions Consideration Panel Disclosure Discussion

Table B1

Date of Disclosure Discussion	
Names of all individuals present for the discussion	

The CCP Disclosure Discussion should normally be used as a part of the assessment process by the CCP in assessing a criminal record or related criminal matter. Below, some standard questions are provided which might be relevant to help you better understand the criminal record and its relevance to the particular course. Additional questions can be entered by the Convictions Consideration Panel below these. The CCP should note the responses provided.

Table B2 CCP Disclosure Discussion Record

No	Discussion Questions	Y/N/NA	Details
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1	What is the nature of the offence(s)?		
2	When did the offence(s) occur?		
3	At what age was the individual when the offence(s) were committed?		
4	Was the offence a single occurrence? <i>(If the individual has more than one offence that they have declared, ask this question for each offence)</i>		
5	If multiple offences, were they part of a pattern of offending behaviour?		
6	Were there any particular circumstances surrounding the offence? If so, what were they?		
7	What is the individual's attitude to the offence?		
8	Have the individual's circumstances changed since the offence? If so, how?		
9	Is the applicant taking part in any relevant courses?		
10	Is the applicant barred from working in regulated activity (if applicable) with children and/or adults?		

11	Are there any sentence restrictions or requirements relevant to the course?		
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Table B3 Additional Questions

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/student's criminal record.

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Part C – Case Assessment following CPP Disclosure Discussion

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

Table C1 Case Assessment

No.	Question	Details
1	Is the offence(s) in question relevant to the specific course?	
2	Is the CCP satisfied with the explanation of the circumstances of the offence(s)?	
3	How serious do you consider the offence to be? Indicate severity and give rationale.	Major Moderate Minor
4	What was the individual's attitude to the offence?	
5	Have the circumstances that contributed to the individual committing the offence changed for the better?	
6	What are the risks associated with the course activities in which the student would be involved?	
7	Do the responsibilities involved in the course link closely to the applicant's offending background?	
8	Do the responsibilities involved in the course present any opportunities for the individual to re-offend?	

Table C2 Additional Factors the CCP considered during the Disclosure Interview

1		
2		

Part D – Risk Assessment: Concerns and safeguards

The next part of the assessment concerns the risk assessment. Part D should be undertaken as follows:

1. The risk assessment table on the next page (Table D1) should be completed and used to record any concerns the CCP has as result of the above assessment, and to consider the potential measures and safeguards to mitigate these.
2. The potential measures and safeguards table (Table D2) should then be completed in response to the concerns recorded in the risk assessment.
3. Examples of the types of concerns which the School may have are provided below:

Type of Concern	Examples which might fall under this category
Institutional	Risk to reputation; ability to manage safeguarding measures
Contractual	Breach of contract with other students to provide safe environment
Legal	Fulfilling duty of care to other students; ability to manage safeguarding measures
Reoffending	Likelihood of reoffending

Table D1 Risk Assessment: Concerns and Safeguards (see table above for examples/guidance)

Specific concern and details (complete as many specific concerns as relevant.)	Likelihood What is the likelihood of it happening? (Tick relevant boxes)		Impact What would be the impact if it happened? (Tick relevant boxes)		Minimising the Concern What is currently done to minimise this? What further steps could be taken to minimise this concern?	Overall Risk What is the overall risk and level of concern? (Tick relevant boxes)	
Institutional Concern(s) 1. 2.	1. Highly unlikely		1. Very Minor		Currently: Further Steps:	1. Very low	
	2. Unlikely		2. Minor			2. Low	
	3. Possible		3. Moderate			3. Medium	
	4. Likely		4. Major			4. High	
	5. Highly Likely		5. Very Major			5. Very High	
Contractual Concern(s) 1. 2.	1. Highly unlikely		1. Very Minor		Currently: Further Steps:	1. Very low	
	2. Unlikely		2. Minor			2. Low	
	3. Possible		3. Moderate			3. Medium	
	4. Likely		4. Major			4. High	
	5. Highly Likely		5. Very Major			5. Very High	
Legal Concern(s) 1. 2.	1. Highly unlikely		1. Very Minor		Currently: Further Steps:	1. Very low	
	2. Unlikely		2. Minor			2. Low	
	3. Possible		3. Moderate			3. Medium	
	4. Likely		4. Major			4. High	
	5. Highly Likely		5. Very Major			5. Very High	
Reoffending Concern(s) 1.	1. Highly unlikely		1. Very Minor		Currently: Further Steps:	1. Very low	
	2. Unlikely		2. Minor			2. Low	
	3. Possible		3. Moderate			3. Medium	

2.	4. Likely		4. Major			4. High	
	5. Highly Likely		5. Very Major			5. Very High	

Table D2 Potential measures and safeguards

Detail below the potential measures/safeguards in response to the concerns recorded in the risk assessment.

Specific Concern	Measure / safeguard	Who is responsible?	When are they responsible?

Part E – Final decision

This part should be completed by the Convictions Consideration Panel in all cases where a criminal record has been assessed.

Table E1 Final Decision Record

STATUS OF INDIVIDUAL	FINAL DECISION	Tick	Reasons / Conditions / Details
Applicant	Confirm conditional offer of a place on a course with compulsory element of regulated activity		
Applicant	Not admit		
Registered Student	NO FURTHER ACTION		
Registered Student	Referral of case under Non-Academic Misconduct Policy		
Registered Student	Referral of case under other policy (eg Support Through Studies; Emergency Powers of Exclusion and Suspension) (specify the policy under which you are referring the case)		
Registered Student	Measures/Safeguards necessary to put in place		

Table E2 Confirmation of Final Decision

CONVICTIONS CONSIDERATION PANEL CONFIRMATION OF FINAL DECISION	Date final decision discussed with the individual
<i>Please confirm in the box below what the final decision of the Panel is, including any relevant accompanying information.</i>	

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Table E3 Convictions Consideration Panel & CEO/Principal's Sign-Off

Signed		Signed		CEO/PRINCIPAL'S FINAL DECISION NEEDED? (Tick relevant box)	YES	NO
Name		Name		CEO/PRINCIPAL'S SIGNATURE		
Job title		Job title		Name		
Date		Date		Date		

Any Other Notes