



# **HMG BASELINE PERSONNEL SECURITY STANDARD**

**Staff Vetting Procedures in respect of all  
persons employed or engaged in the provision  
of the Services**

## **A GUIDE FOR DWP CONTRACTORS**

# **HMG BASELINE PERSONNEL SECURITY STANDARD – A GUIDE FOR DWP CONTRACTORS**

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## Definitions

“Approved” or “Approval”	means the written consent of the Authority’s Representative.
“Authority”	means the Secretary of State for Work and Pensions and includes the Authority’s Representative.
“Authority’s Assets”	means any premises, systems, information or data which is owned, occupied, used or in the possession of the Authority.
“Authority’s Personnel”	means persons directly employed by the Authority.
“Authority’s Representative”	means the individual authorised to act on behalf of the Authority for the purposes of a specific commercial agreement between the Authority and the Contractor.
“Basic Disclosure Certificate”	means a document, issued by Disclosure Scotland ( <a href="http://www.disclosurescotland.co.uk">www.disclosurescotland.co.uk</a> ), which provides independent verification of an individual’s record of “unspent” criminal convictions.
“Contractor”	means a provider of services to the Secretary of State for Work and Pensions under a specific commercial agreement.
“Contractors Staff”	means all persons used by the Contractor to perform services under a specific commercial agreement and includes sub-contractor’s staff.
“Criminal Record Declaration Form”	means a self-declaration of unspent criminal convictions provided by a member of the Contractors Staff, an example of which is provided as <a href="#">Annex C</a> to this document.
“Standard”	means the HMG Baseline Personnel Security Standard staff vetting procedures, issued by the Cabinet Office Security Policy Division and Corporate Development Group.

## **Revisions**

**Version 1.0 issued on 30/09/2008**

**Version 2.0 issued on 18/05/2009**

**Version 3.0 issued on 18/01/2013**

**Version 4.0 issued on 12/06/2013**

**Version 5.0 issued on 30/10/2014**

**Version 6.0 (current) issued on 08/01/15**

### **Changes from version 1.0**

- Inclusion of additional cross-reference (to paragraph 1.6) in paragraph 1.1
- New paragraph 1.6
- Paragraphs 1.6 to 1.12 renumbered to be paragraphs 1.7 to 1.13 respectively
- Paragraph 1.13 renumbered to be paragraph 1.14 and includes revised wording
- Minor changes to the list of identity documents at paragraph 2.1
- Paragraph 2.4 removed
- Paragraph 2.5 renumbered to be paragraph 2.4
- New paragraph 2.5
- Section 6 (paragraphs 6.1 to 6.10) has been totally revised
- Minor changes to question 1 of Annex C (Criminal Record Declaration Form)
- New paragraphs (3.2 to 3.4) added to highlight that NI NO cards are no longer issued (v4)
- Paragraph 6.2 updated to reference new legislation (v4)
- Paragraph 6.7 updated to show that Criminal Record checks are now done by the Disclosure and Barring Service (DBS) (v4)
- Annex C wording for question 1 has been changed (v4)
- Wording in paragraph 6.7 has been amended (v5)
- Hyperlink fixes (v6)

## 1. Overview of the Standard

1.1 Except as shown at paragraphs 1.2, 1.3 and 1.6 below, in respect of each member (or prospective member) of the Contractors Staff to be given access to the Authority's Assets, (defined as premises, systems, information or data), the Contractor is required to verify the four elements outlined below:

- Identity;
- Employment History (for a minimum of past 3 years);
- Nationality and Immigration Status;
- Criminal Record (unspent convictions only).

1.2 The Standard need not be applied in those cases where Contractors Staff accessing the Authority's Assets are accompanied and supervised by the Authority's Personnel at all times.

1.3 For commercial agreements already in place at the time the Standard was first introduced as a requirement (e.g. those contracts/framework agreements where the requirement to comply with the Standard was implemented by means of a formal 'variation to contract/agreement'); the requirements of the Standard do not apply retrospectively to current members of the Contractors Staff who already have access to Authority's Assets in the course of their duties.

1.4 For any new commercial agreements (including where an incumbent Contractor is successful in retaining the work) the requirements of the Standard apply to ALL members of the Contractors Staff to be given access to the Authority's Assets.

1.5 There is no requirement to repeat the verification process for any individual member of staff, providing they remain continuously employed by the Contractor (e.g. once an individual has met the requirements of the Standard, the checks do not have to be repeated during any period of continuous employment with that Contractor). Suitable records must be kept by the Contractor to indicate that an individual member of staff has met the requirements of the Standard.

1.6 Where the contract of employment of an individual member of staff transfers from one organisation to another under the terms of the TUPE Regulations the receiving organisation must satisfy itself that the Standard has been met. To help do this, it may request from the supplying organisation copies of the HMG Baseline Personnel Security Standard Verification Record ([Annex A](#)) and also any associated documentation where this has been retained. For those members of staff where this information is not available, the receiving organisation will be required to undertake the checking and verification process itself.

- 1.7 The Contractor shall ensure that any sub-contracting arrangements which are Approved by the Authority's Representative and which include access to the Authority's Assets by the sub-contractors staff include the requirements of the Standard and shall be responsible for ensuring the full compliance of sub-contractors with such requirements. The Contractor should note specially that the information provided in [Annex D \(Contractors Declaration\)](#) should include information in respect of sub-contractors staff.
- 1.8 Information collected at each stage of the process should be reviewed and assessed and recorded on the Verification Record (a suggested template document is provided as [Annex A](#)). Refusal by an individual to provide any of the required information should be taken into account by the Contractor when making the employment decision.
- 1.9 To allow the four elements of the Standard to be verified, individuals should be asked to provide the following:
- Confirmation of name, date of birth and address;
  - National Insurance number or other unique personal identifying number where appropriate;
  - Full details of previous employers (name, address and dates), for a minimum of past 3 years;
  - Confirmation of any necessary qualifications/licences;
  - Educational details and references where someone is new to the workforce when these are considered necessary;
  - Confirmation of permission to work in the UK, if appropriate;
  - A Criminal Record Declaration Form (a suggested template document is provided as [Annex C](#))
- 1.10 Having obtained this information, the Contractor must, in all cases, take steps to confirm the accuracy of the information provided. Ensure that there are no obvious gaps and that the information is consistent by cross-referencing the data provided. The guidance provided in the following sections of this document, recommends methods of checking or confirming the accuracy of the information provided by the individual.
- 1.11 Following a conditional offer of employment, a 'Basic Disclosure Certificate' should be obtained from Disclosure Scotland ([www.disclosurescotland.co.uk](http://www.disclosurescotland.co.uk)) to confirm the accuracy of the information regarding unspent convictions provided on the Criminal Record Declaration Form. Further details of this process can be found in [section 6](#) of this document.
- 1.12 Unless stated otherwise in the relevant commercial agreement, the Contractor is required to satisfactorily complete this process in respect of each individual before they are permitted to access the Authority's Assets.

- 1.13 Where the Contractor utilises existing processes and/or documentation which are, equivalent to and no less strict, than those laid down in the Standard, these can continue to be utilised, providing that such processes or documentation fully capture all the information required to ensure that the requirements of the Standard are met in full.
- 1.14 Where Contractors Staff based outside the United Kingdom are required to access the Authority's assets, the Contractor shall ensure that appropriate and robust procedures, which comply with relevant local legislation, are in place to carry out checks which are as far as possible broadly equivalent to those outlined in the Standard. A copy of these procedures should be provided to the Authority for their Approval. Note specially that the information on criminal convictions available from Disclosure Scotland is largely confined to UK residents and offences committed in the United Kingdom. The Security Industry Authority website does include guidance on obtaining a criminal record check in a number of countries (ignore the information included about 'your licence application' at the end of certain of the entries as this relates to SIA application procedures). The Disclosure Scotland site also includes limited information on overseas criminal record checks.
- [Overseas criminal record checker](#) (this link will take you to the Security Industry Authority website)
  - [Disclosure Scotland website](#)

## 2. Verification of Identity

2.1 The individual's full name and signature, date of birth and full permanent address should be corroborated using as many of the following qualifying documents as is considered necessary on a case-by-case basis. Only original documents should be used for identification purposes – copies are not appropriate. Where a signature has not previously been provided (e.g. because of an e-application), the individual should be asked to provide it at a later date (e.g. at interview), for checking against relevant documentation:

- Current signed full passport, travel document, National ID Card and/or other documentation related to immigration status and permission to work (see further guidance on verification of nationality and immigration status in [section 5](#) of this document);
- Current UK photocard driving licence;
- Current full UK driving licence (old version);
- Current benefit book or card or original notification letter from the DWP confirming the right to benefit);
- Building industry sub-contractor's certificate issued by HMRC;
- Recent HMRC tax notification;
- Current firearms certificate;
- Birth certificate (long version only);
- Adoption certificate;
- Marriage certificate;
- Divorce, dissolution or annulment papers;
- Civil Partnership Certificate;
- Citizencard ([www.citizencard.com](http://www.citizencard.com));
- Gender recognition certificate;
- Police registration document;
- HM Forces identity card;
- Proof of residence from a financial institution;
- Confirmation from an Electoral Register search that a person of that name lives at that address\*;
- Recent original utility bill or certificate from a utility company confirming the arrangement to pay for the services at a fixed address on prepayment terms\*;
- Local authority tax bill (valid for current year)\*;
- Bank, building society or credit union statement or passbook containing current address\*;
- Recent original mortgage statement from a recognised lender\*;
- Current local council rent card or tenancy agreement\*;
- Court Order\*.

2.2 Not all documents are of equal value. The ideal is a document that is issued by a trustworthy and reliable source, is difficult to forge, has been dated and is current, contains the owners name, photograph and signature and itself requires some evidence of identity before being

issued (e.g. a passport). Those marked with an \* should be recent (at least one should be within the last six months unless there is a good reason why not) and should contain the name and address of the applicant.

2.3 Where individuals do not have photo ID, they should be asked to provide additional identifying documents from the list. Where they are unable to provide adequate identifying documents (e.g. because of age, lack of residence, etc), discretion should be exercised, taking into account all other material obtained through the recruitment process. Where this appears genuinely to be a problem, the individual should be asked to provide a passport sized photograph of him/herself endorsed on the back with the signature of a person of some standing in the individual's community (e.g. a JP, medical practitioner, officer of the armed forces, teacher, lecturer, lawyer, bank manager, civil servant, etc) and accompanied by a signed statement, completed by the same person, stating the period of time that the individual has been known to them (minimum 3 years). The statement, itself, should always be checked to ensure that the signature matches the one on the back of the photograph and that it contains a legible name, address and telephone number. The signatory should be contacted to check that he or she did, in fact, complete the statement.

2.4 The following techniques can be used to help confirm the authenticity of identity documents provided by the individual:

- Examine the documents carefully to make sure that they are originals and not copies or photocopies;
- Where possible, compare with examples of known original documents, checking paper type, typeface, watermarks and the like (e.g. passports and driving licences contain a number of design features);
- Examine the documents for alteration or signs that the photograph have been tampered with or replaced (a bright light or the more sophisticated ultra-violet lamp can be useful for this purpose);
- Check that any signature on the documents compares with other examples and, if practicable, ask the candidate to sign something in the presence of an authorised individual;
- Check that details given on the documents correspond with what is already known about the individual;
- Take a note of the condition of documents in relation to issue dates, particularly where they appear to be new and referee coverage is barely adequate.

2.5 Guidance on ID documentation checks is available from the Centre for the Protection of the National Infrastructure (CPNI) 2007:

[http://www.cpni.gov.uk/documents/publications/2009/2009024-gpg\\_pre\\_employment\\_screening.pdf?epslanguage=en-gb](http://www.cpni.gov.uk/documents/publications/2009/2009024-gpg_pre_employment_screening.pdf?epslanguage=en-gb)

### **3. National Insurance Number (NINO)**

- 3.1 National Insurance Numbers (NINOs) can be acquired fraudulently and therefore they should not be accepted as a sole means of identification or as a wholly reliable indicator of entitlement to work in the UK.
- 3.2 As of July 2011 HM Revenue and Customs stopped issuing NI number cards to adults (mainly foreign nationals), this has been replaced with a letter that will be issued by DWP.
- 3.3 As of October 2011 HM Revenue and Customs stopped issuing NI number cards to Juveniles (young people) and now issue a letter.
- 3.4 National Insurance cards however, will still be in circulation for those individuals who received cards prior to July/October 2011.

#### 4. Verification of Employment History

4.1 Although the Contractor may continue to seek suitable references if they wish, they are not required as part of the Standard. To satisfy themselves that prospective employees have been honest and are not concealing associations or gaps, the Contractor should, as a minimum, verify recent (minimum of past 3 years) employment history. Approaches to a previous and/or current employer should not be made without the individual's prior written permission. For periods of self-employment, the individual should be asked to co-operate in providing evidence (e.g. from bankers, accountants, solicitors, trade or client references etc), as appropriate, confirming that the individual's business was properly conducted and was terminated satisfactorily.

4.2 Where the Contractor continues to seek references, reasonable steps should be taken to ensure they are genuine, especially where they appear less than convincing (e.g. are provided on poor quality paper or contain basic spelling or grammatical errors). Such checks might include:

- Telephoning the author to confirm they provided the reference. In these circumstances the telephone number should be ascertained independently. A telephone number supplied by the individual being checked should not be relied upon;
- Checking the existence of the employer (e.g. that it appears in the phone book or relevant business directories).

4.3 The Contractor may wish to use the Employment History/Reference Report Form provided at [Annex B](#) when seeking verification of employment history/references. It is designed to help former employers provide relevant information about the individual and minimise the effort involved to prompt a quick response. Alternatively, for speed and to keep delays in the process to a minimum, the Contractor may wish to e-mail former employers for confirmation of an individual's employment history. In these circumstances, email addresses should be ascertained independently. An email address supplied by the individual being checked should not be relied on. The telephone can be used to check details already provided (e.g. in writing or by email), but it is not recommended as an initial or sole means of verifying employment history and/or obtaining references unless it is clear that the person on the other end is who they claim to be. Where the telephone continues to be used for this purpose, the details should still be recorded.

4.4 Depending on the individual's circumstances, the following actions may also be required:

- Where an individual has been overseas for 6 months or more during the previous 3 years, every effort should be made to verify employment details or obtain a reference from an overseas employer;
- Where for any reason, confirmation of employment history or an employer's reference is not available, a personal reference should be obtained from a referee of some standing in the individual's community (e.g. a JP, medical practitioner, officer of the armed forces, teacher, lecturer, lawyer, bank manager, civil servant, etc). (This is not necessary if the period of coverage is less than 6 months).
- Where an individual has been in full time education during the period, confirmation or a reference should also be obtained from the relevant academic institution(s).

4.5 It may also be possible to make use of an electronic CV checking service to assist with this process; there are a number of commercial products and service providers available.

## **5. Verification of Nationality and Immigration Status**

- 5.1 Under the Immigration, Asylum and Nationality Act 2006, it is an offence for any person to employ a person aged 16 or over who is subject to immigration control, unless that person has valid and subsisting leave to enter or remain in the UK, which does not prohibit him from taking up the employment in question, or unless certain other conditions are fulfilled.
- 5.2 A tool for employers to check if someone can work in the UK is provided [here](#).

## 6. Verification of Criminal Record (“unspent” convictions only)

- 6.1 Individuals should be asked to complete a ‘Criminal Record Declaration Form’ (a suggested template document is provided as [Annex C](#)). This form relies entirely on the honesty of the individual to provide complete and accurate information and it is, therefore, necessary to obtain independent verification of the information that has been provided. Further guidance on how this should be done is shown [later in this section](#).
- 6.2 In completing the form, individuals should disclose criminal convictions that are unspent under [The Rehabilitation of Offenders Act 1974 \(Exclusions and Exceptions\) Scotland Order 2013](#) or [The Rehabilitation of Offenders Act 1974 \(Exceptions\) Order 1975 \(Amendment\) England and Wales Order 2013](#). Under the Act, most convictions become spent after five years because most lead to a fine or community order. Those convictions that result in short prison sentences take longer, while convictions that lead to conditional discharge orders generally become spent after the orders have expired. Cautions, reprimands and final warnings, which are formal admonishments mainly given in police stations, usually become spent instantly. Information about the rehabilitation periods for these and other sentences can be [found on the Internet](#).
- 6.3 Where unspent convictions have been declared, the Contractor will wish to consider:
- **The number of offences and their seriousness.** In general a number of offences and convictions resulting in prison sentences will be of greater concern than single convictions and those that have resulted in fines and discharge orders. Those offences that result in community penalties are generally more serious than those that result in fines and discharge orders, but less serious than those that result in imprisonment.
  - **The relevance of the offence(s).** In general, the relevant offences in relation to the Authority’s assets are property offences, notably theft and fraud, but also criminal damage. Other offences, such as drink-driving, assault and public order offences may in some instances be serious, but are not necessarily relevant to a particular post.
  - **The length of time since the offence occurred.** While there will always be exceptions to this rule, Home Office statistics show that if someone goes more than two years from conviction or release from prison without re-offending, their chances of being cautioned or convicted again is considerably reduced.
  - **The nature and background of the offence.** Offence labels tend to sound worse than the behaviours they describe and the circumstances behind individual offences vary from the mitigating to the sorely aggravating. It is important to speak to individuals about

their offences in order to make assessment about whether they represent a risk or not.

- **The individual's attitude to the offence and evidence of change.** Many offenders will regret what they have done and feel a sense of remorse. Many will have been young at the time of their offences and will have matured and settled down and are unlikely to get into trouble again. This is especially true of young women but is also true of young men, although generally they take longer to settle down.

6.4 It must be stressed that the Authority is committed to combating social exclusion and is in no way mandating or encouraging the exclusion of individuals purely because they have an unspent criminal conviction. While some individuals are likely to be unsuitable because of the nature and seriousness of their offences, there should be no blanket bans. Rather the best way to determine whether an individual is a risk is by discussing their offences and their attitudes to those offences with them. Decisions should not be made without giving individuals the opportunity to discuss their offences.

6.5 Except in the cases outlined at paragraph 6.7 below, independent verification of the information provided in respect of unspent convictions, should be obtained by means of a 'Basic Disclosure Certificate' which can be obtained from Disclosure Scotland ([www.disclosurescotland.co.uk](http://www.disclosurescotland.co.uk)). A 'Basic Disclosure Certificate' is available to anyone, for any purpose, subject to confirmation of the identity of the applicant and payment of the appropriate fee. The 'Basic Disclosure Certificate' will contain details of convictions held in central police records which are "unspent" according to the ROA, or will state that there are no such convictions. Only one copy is issued, normally to the individual and will not be provided directly to employers or prospective employers unless by prior agreement with Disclosure Scotland (see paragraph 6.6 below).

6.6 For those organisations that are likely to have a **high volume** of demand for this service, Disclosure Scotland should be contacted directly to discuss the possibility of allowing the organisation to register as a 'Responsible Body' with them. Such registration would, with the prior written consent of each individual applicant, allow for the Basic Disclosure Certificate to be sent directly to the organisations HR team and for additional features, such as monthly invoicing to be provided. No charge is levied for registration for those organisations where only Basic Disclosure Certificates are to be provided. Disclosure Scotland has indicated that it would be able to provide assistance in implementing a suitable process.

6.7 Those organisations recruiting people to work with children and vulnerable adults or to specified professional, licensing and regulatory bodies have additional legal obligations which require them to obtain a different type of criminal record Disclosure Certificate. These

‘Standard’ or ‘Enhanced’ Disclosure Certificates provide details of all convictions and not just those which are unspent. In England and Wales this service is provided by [Disclosure and Barring Service \(DBS\)](#) (previously the Criminal Records Bureau) and in Scotland by Disclosure Scotland. Organisations using this service are not required to duplicate effort by also following the process outlined in paragraph 6.5 above. For the purposes of applying the HMG baseline Personnel Security Standard such organisations should, however, seek to identify and disregard spent convictions.

- 6.8 The availability of the ‘Basic Disclosure Certificate’ service should be seen as complementary to existing recruitment practice and should only be requested after a candidate has been provided with a conditional offer of employment.
- 6.9 The Authority may request the Contractor to supply evidence that Disclosures have been issued in respect of each of their employees prior to that individual being given access to the Authority’s Assets. Such evidence could include being provided with Disclosure Certificate numbers (note that in accordance with Part V of the Police Act 1997, unless the Authority has input to the recruitment decision, it has no right to view the actual Disclosure Certificate).
- 6.10 Note specially that the information on criminal convictions available from Disclosure Scotland is largely confined to UK residents and offences committed in the United Kingdom. The Security Industry Authority website does include guidance on obtaining an criminal record check in a number of countries (ignore the information included about ‘your licence application’ at the end of certain of the entries as this relates to SIA application procedures). The Disclosure Scotland website also includes limited information on overseas criminal record checks.
- [Overseas criminal record checker](#) (this link will take you to the Security Industry Authority website)
  - [Disclosure Scotland website](#)

## **7. Post Verification Process**

- 7.1 Details of the checks carried out in each case and the results should be recorded on the HMG Baseline Personnel Security Standard Verification Record ([Annex A](#)) or similar document and the completed verification record should be retained on the individual's personnel record.
- 7.2 It remains the responsibility of the Contractor to ensure that they fully comply with the provisions of the Data Protection Act 1998 in respect of access to and retention of data held by them.
- 7.3 Within one month of the end of each calendar year (e.g. by 31<sup>st</sup> January for year ending 31<sup>st</sup> December), or more frequently where specified by the Authority's Representative, the Contractor shall confirm in writing, using the Contractor's Declaration provided as [Annex D](#), that the Standard has been fully complied with in respect of each member (or prospective member) of their Staff, or their sub-contractors staff, to be given access to the Authority's Assets.
- 7.4 Additionally, the Contractor shall provide a Contractor's Declaration ([Annex D](#)) within 4-weeks of the start of any new commercial agreement, in order to confirm that they have undertaken the necessary actions as part of implementation activity.
- 7.5 Subject to their obligations under the Data Protection Act 1998, the Contractor shall, on request, provide the Authority's Representative with any additional documentary evidence requested to prove their compliance with the Standard.

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May 2009

## HMG BASELINE PERSONNEL SECURITY STANDARD VERIFICATION RECORD

### 1. Employee/Applicant Details

Surname:	Forenames:
Address:	
	Postcode:
Date of birth:	Place of birth (town/country):
Nationality: (with dates if applicable)	Former or dual nationality:

### 2. Certification of Identity

Document:	Date of issue:
a)	
b)	
c)	
d)	

### 3. References (if taken)

a) Referee:	Relationship:
Address:	
Length of association:	

b) Referee:	Relationship:
Address:	
Length of association:	
c) Referee:	Relationship:
Address:	
Length of association:	

**4. Other Information** (i.e. verification of employment history (past 3 years); verification of nationality and immigration status; unspent criminal record declaration and independent verification via Disclosure Scotland; academic certificates seen; additional checks carried out; etc).

I certify that in accordance with the HMG Baseline Personnel Security Standard:

- I have personally examined the documents listed at 2 above and have satisfactorily established the identity of the above named employee/applicant;
- I have obtained the references (if taken) and information listed at 3 and 4 above and can confirm that these satisfy the requirements.

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Name:

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Appointment/Post:

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Signature:

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Date:

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<p><b>Important: Data Protection Act (1998).</b> This form contains “personal” data as defined by the Data Protection Act 1998. It has been supplied to the appropriate HR or security authority exclusively for the purpose of the HMG Baseline Personnel Security Standard. The HR or security authority must protect the information provided and ensure that it is not passed to anyone who is not authorised to see it.</p>
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## HMG BASELINE PERSONNEL SECURITY STANDARD EMPLOYMENT HISTORY/REFERENCE REPORT FORM

(The draft covering letter shown below may be used together with the HMG Baseline Personnel Security Standard Employment History/Reference Report Form overleaf. Alternatively the Contractor may wish to include the Report Form with their normal letter requesting employment history / references, or gather the required information using other standard documentation).

Dear [ ],

**SUBJECT: [ ]**

You may be aware that we are required to verify employment history / seek references to help confirm the reliability of persons who may have access to Government Assets (defined as premises, systems, information or data). The person named above (who is an employee of / has applied for employment with) this organisation comes within the terms of this procedure.

S/he has given us your name as a (previous employer) / (personal acquaintance willing to give such a reference). It would be appreciated, therefore, if you would be good enough to let us have (confirmation (with dates) of his/her employment with you / (any information about him/her which you think may help us in assessing his/her reliability) by completing the attached Report Form and returning it to us by no later than [insert date]. Your reply will be treated in the strictest confidence.

Your cooperation and understanding in this matter will be greatly appreciated.

Yours sincerely

[Signed]

**SUBJECT: [ \_\_\_\_\_ ]**

<b>1. How long did the subject work for you and in what capacity?</b>	
From:	To:
Capacity i.e. appointment/post)	

<b>2. Are you related to the subject? If so, please state your relationship.</b>

<b>3. Over what period have you known the subject?</b>	
From:	To:

<b>4. Please state the nature and depth of your acquaintance.</b>

<b>5. Do you believe the subject to be strictly honest, conscientious and discreet?</b>

<b>6. Do you know of any factor concerning the subject which might cause his/her fitness for employment on sensitive work to be questioned? If so, please give details.</b> (Among the factors which are relevant are significant financial difficulties, abuse of alcohol or drugs, an extravagant mode of living or signs of mental or physical illness which may impair judgement or reliability.)

(Important note – remove before issue. To avoid difficulties in relation to the Disability Discrimination Act 1995, the Contractor should note that in the case of mental or physical illness there will need to be a proper assessment of whether the person's condition genuinely is a barrier to carrying out the role in question. It is very important to avoid assumptions about the effects which a particular condition (e.g. depression) may have on a person's ability to carry out their job.)

Name:

Signature:

Date:

Contact address:

Postcode:

Tel No:

E-mail:

Company Name and Address (Stamp if applicable):

**Important: Data Protection Act (1998).** This form contains “personal” data as defined by the Data Protection Act 1998. It has been supplied to the appropriate HR or security authority exclusively for the purpose of the HMG Baseline Personnel Security Standard. The HR or security authority must protect the information provided and ensure that it is not passed to anyone who is not authorised to see it.

**HMG BASELINE PERSONNEL SECURITY STANDARD**  
**CRIMINAL RECORD DECLARATION FORM**  
**(for access to Government assets)**

**Note: If a conditional offer of employment is made to you, you will be required to obtain and produce for inspection, a 'Basic Disclosure' Certificate from Disclosure Scotland (who provide this service for posts located throughout the UK), which provides an independent check against the National Collection of Criminal Records to confirm the accuracy of the information provided in this Form.**

The company named at the bottom of this form has Government contracts, some or all of which require it to access Government Assets (defined as premises, systems, information or data). The company has a duty to protect these assets and this obligation extends to its employees and agents. Since you are, or may become, such a person please complete the following sections:

Surname:

Full Forenames:

Full permanent address:

Date of Birth:

1. Do you have any unspent convictions, cautions, reprimands or warnings?

YES / NO (delete whichever is not appropriate) (if yes, please give details overleaf)

2. Have you ever been convicted by a Court Martial or sentenced to detention or dismissal whilst serving in the Armed Forces of the UK or any Commonwealth or foreign country? You need not declare convictions which are "spent" under the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) Scotland Order 2013 or The Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (Amendment) England and Wales Order 2013.

YES / NO (delete whichever is not appropriate) (if yes, please give details overleaf)

3. Do you know of any other matters in your background which might cause your reliability or suitability to have access to government assets to be called into question?

YES / NO (delete whichever is not appropriate) (if yes, please give details overleaf)

If you answered 'YES' to any of the questions on this form, please give details below.

I declare that the information I have given on this form is true and complete to the best of my knowledge and belief. In addition, I understand that any false information or deliberate omission in the information I have given on this form may disqualify me for employment in connection with Government contracts. I undertake to notify any material changes in the information I have given above, including any future criminal convictions, to the HR or security authority concerned.

Signature:	
Date:	

The information you have given above will be treated in strict confidence.

**Important: Data Protection Act (1998).** This form asks you to supply "personal" data as defined by the Data Protection Act 1998. You will be supplying this data to the appropriate HR or security authority where it may be processed exclusively for the purpose of a check against the National Collection of Criminal Records. The HR or security authority will protect the information which you provide and will ensure that it is not passed to anyone who is not authorised to see it.

By signing the declaration on this form, you are explicitly consenting for the data you provide to be processed in the manner described above. If you have any concerns, about any of the questions or what we will do with the information you provide, please contact the person who issued this form for further information.

Name and address of Sponsoring Company:

## HMG BASELINE PERSONNEL SECURITY STANDARD

### CONTRACTOR'S DECLARATION

<b>Contract/Framework Agreement Title:</b>	
<b>Contract/Framework Agreement Reference No</b>	

<b>1. Review Period:</b>	
<b>From:</b>	<b>To:</b>

2. Number of Staff	Contractors Staff	Sub-contractors Staff
(a) Number of staff granted access to DWP Assets for the first time in the review period under the terms of the above Contract/Framework Agreement Number		
(b) Number of the above staff in respect of whom the HMG Baseline Security Standard checks have been fully completed		
(c) Number of the above staff in respect of whom the HMG Baseline Security Standard checks are not yet completed (where specifically authorised)		

**I hereby warrant that during the review period shown above, all staff employed by this organisation and by approved sub-contractors who have been granted access to Department for Work and Pensions (DWP) Assets (defined as premises, systems, information or data) for the first time under the terms of the above Contract/Framework Agreement Number, have been assessed for their suitability to do so in accordance with the requirements of the HMG Baseline Personnel Security Standard, except as indicated at 2(c) above.**

**Name:**

**Job Title:**

**On behalf of (organisation):**

**Signature:**

**Date:**

**Important:** The Contractor should note that a false declaration above may be considered to be a fundamental breach of contractual obligations and under certain circumstances may constitute criminal negligence.