

Appendix A: Generic security appraisal form

Security appraisal forms are often distributed to employees annually, but this should be altered to suit the circumstances of any given organisation. This example provides an idea of the format and topics which may be included; however, organisations are advised to develop a tailored version according to their own requirements.

Security appraisal forms are often managed by the personnel security team or HR department within an organisation, who keep a confidential record of responses and are best placed to review and address any issues that may arise. Part A is completed by the employee and the Part B by the employee’s manager(s). An organisation should seek legal advice before introducing this kind of system.

PART A: Employee to complete

Subject Details

- Employees name and staff number
- Period under review
- Date of issue & return

If it is likely that employees may hold more than one position within a reporting period, then the following may be useful.

Position(s) held	Dates (from – to)	Name of manager(s)

Rationale

It is important to include some kind of explanation regarding the purpose of the form. This may include updating HR files with any changes in personal circumstances and identify issues which may relate to an employee’s personal security. Reassure staff that all responses will be held in confidence.

ALL INFORMATION WILL BE HELD AND TREATED
IN CONFIDENCE

PART B: Manager to complete

This part of the form should be completed by the manager who has supervised the individual for the greatest part of the period under review. However, there should be an opportunity for another manager to contribute if this is thought to be beneficial. It may be useful to remind managers of their responsibility to complete this form as accurately and fully as possible.

Subject Details

- Employee name and staff number
- Period under review
- Date of issue & return

Personal Qualities

Examples of areas to cover include:

- Job career satisfaction (e.g. level of motivation, ethical concerns, feeling that his/her contribution is valued)
- Interpersonal skills (e.g. How do they get on with work / management colleagues? Are they a team player? Can they take constructive criticism?)
- Personality traits (e.g. reliability/stability/discretion, ability to cope with pressure, recklessness)
- Security awareness (e.g. attitude towards personnel, physical and IT security procedures)

Sufficient room should be provided under each section for responses to be made (managers can be asked to continue on a separate sheet where necessary).

Behaviour

Examples of areas to cover include:

- Have you noticed any changes (for better or worse) in this individual's behaviour, approach to the job or work performance during the period under review?
- Is there any indication that this individual has serious financial difficulties, or is inexplicably affluent?
- Is there anything about this individual that worries you, or that could indicate a matter of potential security concern?
- Is there any indication that this individual might have an alcohol or drugs problem?

Employment Concerns

Depending on the nature of an organisation's business, it may be appropriate to check whether employees have any moral concerns about the work or activities in which they or their colleagues are involved. Such concerns, if unaddressed, may lead to feelings of disaffection.

Examples include;

- Do you have any reservations, moral or otherwise, about your work?
- Are there any causes of anxiety with regard to your work or concerning a colleague?
- Do you have any security concerns regarding colleagues or security procedures?

It may be useful to remind employees at this point that all responses will be held confidentially.

Declaration

At this stage of the form it is helpful to include a statement to the effect that the employee understands their responsibilities and has completed the form accurately, to the best of their ability. There should be an option to request an opportunity to speak to a member of the security team and the form should be signed and dated by the employee.

Employee signature

Date

What happens next?

- It is important to specify where the information provided will be stored and how it will be managed.
- It will be useful to explain how matters of concern or interest will be addressed and whether employees need take any action unless they are contacted.
- Quite often no further action will be required until the next review.

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Personal Circumstances

The level of intrusion into an individual's personal circumstances will depend on the sensitivity of their employment.

Examples of the kind of circumstances which may affect an individual's security profile:

- Changes in marital status
- Details of any new co-residents (if not family members)
- Changes in step-parents or siblings
- Involvement in, or approaches by, any political, religious or protest group
- Details of any criminal or civil proceedings brought against you
- Any new foreign connections acquired during the appraisal period (for example, close friends, foreign partner or relatives)
- Any approaches by journalists or foreigners, or any other persistent or unusual enquiries about your employment.
- Enrolment for external studies or any part-time work undertaken

Personal Issues

In addition to the circumstances above, there are a number of personal issues which could have an impact on an individual's resilience. If an employer is aware of these it may be possible to ensure that they do not present a security risk to the organisation.

Have you experienced any serious personal difficulties or major changes to your lifestyle during the review period? For example;

- ill health
- legal troubles
- domestic or marital difficulties
- recognised addictions (e.g. gambling or alcohol)

Personal Finance

Financial insecurity has been known to catalyse insider activity. Therefore it may be advisable to keep track of your employee's financial status. Unexplained wealth could indicate a nefarious source of income, but there may be an innocuous and verifiable explanation.

Examples of questions you may wish to pose:

- Has your debt or your ability to manage your debt increased significantly during the review period?
- Have you received, from any sources, sums of money or assets to the value of £5,000 or more during the review period?

Current Contact

It is useful to gauge the level of contact a manager has with the employee in question. This may provide an insight as to the validity of any opinions expressed. Managers could, for example, be asked to circle the most appropriate response.

Work contact, normally:	DAILY	WEEKLY	LESS THAN WEEKLY
Social contact, normally:	REGULAR	OCASSIONAL	NONE

It is also useful to ask managers whether they would be happy to supervise this person again as this can be a better endorsement than a glowing report.

Declaration – Manager

I confirm that I understand my responsibility as a line manager to report any concerns regarding this employee. I have completed this form accordingly, to the best of my knowledge.

- Please indicate if you would like to discuss any issue further with a member of HR.
-

Signature Date

Name Position

Countersigning Manager

Please comment below if there is any additional issue that you wish HR to be aware of, or indicate if you wish to speak to a member of the personnel security team.

Signature Date

Name Position

We will contact you if an interview is required.

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