

REGISTERED COMPANY NUMBER: 03791535 (England and Wales)
REGISTERED CHARITY NUMBER: 1079046

REPORT OF THE TRUSTEES AND
UNAUDITED FINANCIAL STATEMENTS FOR THE YEAR ENDED 31 MARCH 2020
FOR
UNLOCK NATIONAL ASSOCIATION OF EX-OFFENDERS LIMITED

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for the Year Ended 31 March 2020

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The trustees who are also directors of the charity for the purposes of the Companies Act 2006, present their report with the financial statements of the charity for the year ended 31 March 2020. The trustees have adopted the provisions of Accounting and Reporting by Charities: Statement of Recommended Practice applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102) (effective 1 January 2015).

REFERENCE AND ADMINISTRATION DETAILS

Unlock National Association of Ex-offenders Limited (“Unlock”)

Registered Company number 03791535 (England and Wales)
Registered Charity number 1079046
Registered office & operational address Maidstone Community Support Centre
39-48 Marsham Street
Maidstone
Kent
ME14 1HH

Trustees	Zoë Veater, Chair until 31 March 2020	resigned 30 June 2020
	Mark Rowe, Chair from 1 April 2020	
	Nigel Parsons, Treasurer	
	Salima Budhani	
	Mark Day	
	Faye Goldman	
	Leigh Hardy	
	Carlotta Allum	resigned 8 July 2019
	Steven Lorber	appointed 3 February 2020
	Mandeep Mahil	appointed 3 February 2020
	Michael Pattinson	appointed 3 February 2020
	Emma Wilson	appointed 3 February 2020
	Hamish MacLellan	appointed 18 May 2020

Senior Management Julie Harmsworth, Co-director
Christopher Stacey, Co-director

President General The Lord David Ramsbotham GCB CBE

Vice-President Judge John Samuels QC

Patrons Kate Adie OBE DL
Dr Silvia Casale
Dr Deborah Cheney
Prof Andrew Coyle CMG
Dexter Dias QC
The Rt Hon the Lord Garnier QC
Prof Nick Hardwick
Matt Hyde FRSA
Baroness Helena Kennedy QC
Flo Krause LLB
Prof Shadd Maruna
Jill Stevens

Bankers NatWest (Larkfield), 718 London Road, Larkfield, Aylesford, Kent ME20 6AN

Independent Examiner Calcutt Matthews, 19 North Street, Ashford, Kent TN24 8LF

STRUCTURE, GOVERNANCE AND MANAGEMENT

Governing document

The charity is controlled by its governing document, a deed of trust, and constitutes a company, limited by guarantee, as defined by the Companies Act 2006.

Following an extensive review of Unlock's Memorandum and Articles of Association, the board of trustees unanimously passed a new set of Articles of Association by special resolution in June 2020. The new Articles provides for greater clarity and practical ease of administration, including setting trustee tenure periods and the appointment of a vice chair. There were no changes to the objects, rules on paying a trustee or what happens if the charity is wound up. The Articles of Association were submitted to and accepted by the Charity Commission, with the Commission's records being updated accordingly in July. Companies House was also notified.

Recruitment and appointment of trustees

The board carries out an annual review to decide whether there is a need to recruit new trustees. If during the year a trustee leaves, the board will decide whether to recruit at that time. New trustees are openly recruited through advertisement across appropriate forums. Following trustee retirement in line with our tenure policy and a skills audit of remaining trustees, four new trustees were appointed and took up their posts this year with a fifth being appointed to take up their post in 2020-21. Our chair, Zoë Veater, stood down as chair at the end of the year (ahead of retiring from the board in June 2020), with serving trustee Mark Rowe being elected as chair from 1 April 2020.

Trustee induction and training

New trustees have an induction session at Unlock's office to meet other trustees, staff, and volunteers to get a better understanding of Unlock's work, priorities, and how it operates. They are given the charity's key documents and assigned to read guidance issued by the Charity Commission and Companies House. An induction day for newly appointed trustees took place in March when they met with staff and volunteers.

Organisational structure

Unlock is governed by a board of trustees with two executive co-directors reporting to its chair. On 31 March 2020, the board had 11 members from a variety of backgrounds relevant to the work of the charity. The charity operates within an equal opportunities framework that is inclusive of people with criminal convictions and seeks to attract trustees with a wide range of backgrounds and experience. Approximately half of our trustees and staff have a criminal record.

Related parties

No related parties exist other than the funders identified below.

Risk management

The trustee board has carried out a review of the major risks facing the charity. They have constructed a risk register which prioritises these risks and identifies mitigating factors, systems, and controls in relation to each. Trustees have also ensured that there is a comprehensive monitoring and review process in place to capture new risks as they may arise and ensure that systems are in place to manage these.

Governance

Trustees attend scheduled board meetings four times a year; this year they had an attendance rate of 89%. Individual trustees lead on specific areas of governance including: safeguarding, risk management, finance, GDPR (General Data Protection Regulation), digital development, human resources, code of governance, fundraising and whistleblowing. They are encouraged to attend training events and seminars to develop their roles and increase their contribution to the charity's governance. Trustees also undertake ad-hoc tasks as and when required and task-specific working groups are formed as needed and meet separately.

To help it in working towards fulfilling our vision, the board applies the Charity Governance Code, which sets out principles and recommended practice to help it achieve the highest standards of governance and leadership.

Interests

The board of trustees maintains a register of interests as a measure of good practice and to manage any conflicts that arise. The register is updated and reviewed on an annual basis.

Safeguarding

The charity has put in place a robust safeguarding policy as well as related policies, including a whistleblowing policy. The board has identified lead trustees for both safeguarding and whistleblowing concerns. In this period, no safeguarding incidents have been identified as relevant for reporting to the Charity Commission via a serious incident report and no whistleblowing concerns were raised.

Management

Management and development of the charity are delegated to the executive Co-directors who report directly to the chair of trustees. A framework of financial delegation is set out in a policy and procedures manual. Systems for line management, appraisal, staff development and supervision are in place, together with grievance and complaints procedures.

Remuneration policy for senior management

The trustee board sets the Co-directors' salaries with reference to NJC pay scales. These are reviewed annually, and any changes approved by the board. Salaries are banded relative to levels of responsibilities.

Public Benefit

Unlock assists people with convictions to move on positively to live crime-free lives. In planning Unlock's activities for the year, the trustees have paid due regard to Charity Commission guidance on public benefit. Our activities and beneficiaries are described below and in the 'About Us' section of our website, www.unlock.org.uk.

OBJECTIVES

As stated in our governing document, our charitable objectives are:

To advance education and promote the rehabilitation and reintegration of people who have received a criminal record (including those who have suffered a legal restriction on their liberty at any penal establishment as a punishment imposed by a court of law, received a non-custodial sentence, fine or any other court or other recorded disposal, such as a police caution), in particular but not exclusively by the provision of information, advice, advocacy and training, and the undertaking of research and policy work, with the object of improving the conditions of life of the aforementioned persons.

Vision

A fair and inclusive society where people with convictions can move on positively in their lives.

Mission

To help people overcome the long-term disadvantages caused by their criminal convictions, and work with government, employers, and others to enable people to move on positively in their lives.

Strategic objectives and planned activities

The charity has two strategic objectives set out in our strategic plan 2016-2020:

- 1) We assist people to move on positively with their lives by empowering them with information, advice, and support to overcome the stigma of their previous convictions
- 2) We seek to promote a fairer and more inclusive society by challenging discriminatory practices and promoting socially just alternatives.

Unlock's aims, objectives and activities are reviewed each year. The review looks at what we achieved and the outcome of our work in the previous twelve months. It looks at the success of each key activity and the benefits they have brought to those groups of people we are set up to help. The review also helps us ensure our aims, objectives and activities remain focused on our stated purpose.

Objective 1) People moving on positively in their lives.

To meet this aim, we:

- Provide direct support to individuals through our helpline and case work
- Provide online support through our information hub, disclosure calculator tool, e-magazine, forum, and news/

- update subscriber service
- Operate a volunteering scheme to train people with convictions as helpline peer-advisors
- Run training courses on criminal record disclosure for statutory, contracted, and voluntary service providers and practitioners who themselves support people with convictions.

Objective 2) A fairer and more inclusive society.

To meet this aim, we:

- Challenge employment discrimination by working with employers to improve their policies and practices, and working with government departments and agencies to challenge the way they operate
- Influence government, employers and others through evidenced research, consultations, strategic litigation, media work and campaigns.

Our beneficiaries

Each year there are 1.2 million new convictions in England and Wales. Of these, 88,000 people are sent to prison (7.3%), 150,000 people are given probation (12.5%) and the rest are given some other form of court disposal. Cumulatively, this adds up to more than 11 million people in the UK living with convictions, many of whom routinely suffer difficulties when trying to access employment, education, housing, financial and other fundamental services – the vital stepping-stones to full rehabilitation.

The challenges they face

The Rehabilitation of Offenders Act 1974 (ROA) established the important legal principle that, after a specified period, most criminal records could become 'spent', meaning that they could not lawfully be considered in many circumstances.

Over time, the power of the ROA has been eroded, to the point where having a 'spent' conviction risks becoming meaningless. The criminal records checking system has tried to balance the right of an individual to be able to put their past behind them and make a fresh start without facing stigma and discrimination, against the needs of employers and others to have relevant information on which to judge a person's suitability for a role. The resulting system is complicated and opaque, and many people – including advisors in prisons, probation, and other services such as Job Centre Plus – are unaware of or misunderstand how a criminal record is treated under this law.

With limited knowledge even in the criminal justice sector, it is unsurprising that understanding amongst employers and other sectors is even lower. There is often an inclination to undertake unnecessary or illegal criminal record checks and to see criminal records checking as a panacea for safeguarding issues. This results in a tendency to take a default position of not employing anyone with a criminal record. These approaches are neither fair nor justified.

There has been exponential growth in the number of criminal records checks being carried out – rising from nearly 1.2m in 2002 to over 5 million in 2017. In 2017, just 20% checks revealed convictions – and nearly three quarters of these were more than a decade old. Only around 5,000 – one in 197 – were considered relevant to a person's job application (Centre for Crime and Justice Studies November 2017).

The repercussions of the current system have a particular impact on people whose troubled childhood or youth brought them into contact with the criminal justice system. Over a period of five years, more than a third of a million people have been affected by the disclosure in a standard/enhanced check of a criminal record acquired in childhood, and over two-thirds of a million people have been affected by the disclosure of a criminal record that they acquired as a young adult (Unlock: A Life Sentence for Young People).

The rise of the so-called "Google effect" – unregulated online reporting of convictions where information stays available indefinitely whether the conviction becomes spent or not – has further exacerbated the situation, and still has no clear legal remedy. This means that, even without going through the criminal records checking system, many employers can access personal information they are not entitled to see.

The unfairness of the regime has been recognised in several reports and challenged in the courts. Unlock was part of a long-running legal challenge to the current criminal records system which culminated in a Supreme Court judgement in January 2019 which found that aspects of the current criminal records system are disproportionate and breach Article 8 of the European Convention on Human Rights.

While successive governments have acknowledged that law, policies, and practice applying to people with convictions are complex, there is no statutory-funded provision of information or advice available for those affected and they are left to negotiate a complex web of inter-related agencies by themselves.

The need to interpret complex legislation means that many people with a criminal record do not benefit from their legal rights under the Rehabilitation of Offenders Act 1974, making it harder for them to reintegrate into society. We have many examples from people who have either disclosed a spent conviction when they didn't need to or have mistakenly believed that their criminal record was spent and so didn't disclose it, only for it to be found out. Both situations can lead to many difficulties.

Shame and embarrassment often hold back many people with a conviction from applying for jobs where there is any possibility of disclosure, especially when old and long-regretted incidents are likely to resurface. This means many people miss out on opportunities and the chance to properly fulfil their potential.

The cumulative impact of all these pressures means our beneficiary group may experience feelings of hopelessness, even suicidal thoughts, and become dependent on the state. This situation leads to continued social exclusion and, at worst, those who would otherwise support themselves slip back into crime. Reoffending by recent ex-prisoners is estimated to cost up to £15 billion annually.

Being able to access information, advice and support is therefore critical for people looking to create positive futures for themselves and their families. Unlock's work has developed to help people negotiate the legal complexities around disclosing their convictions, support each other, and live law-abiding lives contributing positively to society.

IMPACT

By working to meet the needs of our beneficiaries, Unlock continues to have a positive impact on individuals as well as by achieving systemic change. Analysis of beneficiary feedback shows people to be better able to successfully negotiate the ongoing, changing and increasingly complex challenges which can derail the most positive of intentions. They have improved resettlement chances, suffer less social exclusion, and are empowered to move on positively with their lives and achieve their potential. This report discusses how this was achieved.

APPROACH

Independent

Unlock is an independent charity. Whilst we aim to work constructively with government, we do not deliver government services. Our independence means we are at liberty to take a critical stance on policies and practice that unfairly restrict opportunities for people with convictions.

Involve and include people with convictions

We believe that personal experience is intrinsically valuable, so we recruit people with convictions as staff and volunteers to deliver our helpline and other support to individuals. Having personal experience allows peer-supporters to offer an enhanced level of understanding, awareness, and empathy to people who sometimes find it hard to talk about the issues they face. Our trustee board aims to maintain an even balance of members with convictions whose personal experience means they are in a unique position to know what needs to change.

Consulting beneficiaries is embedded into our policy work and we have established many and varied routes by which users can have input to our activities, such as feedback via our websites, helpline user follow-up, case studies and calls for evidence. Through our online forum and digital magazine, we provide open spaces for people to share experiences and support each other.

Ear to the ground, voice at the top

We listen and engage every day with people who face difficulties because of their convictions and have an impressive record of identifying issues, finding solutions, and putting them into practice. We influence policy and create systemic change, continually punching above our weight to achieve large-scale outcomes including with employers, service providers, advice agencies and government.

Think big. Act big. Stay small

We are a small charity with big ideas. We will constantly adapt our work so that we better meet the needs of our beneficiaries. To do this, we need to make tough choices; we can't do everything. It is important that we stay true to our mission and ensure that the organisation's core work continues, which means working efficiently and effectively.

Work in partnership

As a small charity, we work with like-minded organisations so that, together, we can achieve our aims. However, if we are to achieve real change, we also need to work with people and organisations that are different to Unlock and develop positive partnerships through which we may influence policy, practice, and attitude.

ORGANISATIONAL DEVELOPMENT

Strategy and Planning

Unlock continued to deliver on its Strategic Plan 2016-20. From the beginning of 2020, the organisation has been carefully devising a new plan for 2021-26. We are consulting extensively with service-users and staff to ensure the new plan reflects user need as well as ongoing work and projects in place.

Board and Staffing

Three trustees stepped down during 2019, and four new trustees (Steven Lorber, Mandeep Mahil, Mike Pattinson and Emma Wilson) were appointed in February 2020. Trustee Mark Rowe took over as elected chair from 1st April 2020 when Zoë Veater stepped down. The board now has 11 members.

Volunteers

Volunteers continued to play a vital role in the delivery of Unlock's activities. Our volunteering scheme is described below within Objective 1 activities.

Communications

Press and media

We continue to work hard to develop a strong public presence, both to ensure potential beneficiaries hear of our services and to support our policy / campaigning work. In 2019/20, as well as responding to general news items, we actively sought media coverage of our policy work. Examples include:

- BBC News: "Some convicted killers could have prison records wiped", "Plea for 'second chance' for ex-offenders" and "Alan Turing law: Gay, unjustly convicted - and now denied a pardon"
- Talk Radio, LBC, BBC Radio Wales on the subject of whether employers automatically ask about criminal records on their application form; BBC Radio Kent on changes to the rules on disclosure; BBC Radio Cambridgeshire regarding the ROA announcement in July, and BBC Radio West Midlands regarding West Midlands Police and Crime Commissioner signing up to 'ban the box'
- LincsFM: "University pledge"
- Daily Telegraph articles: "From jail to job: why more companies are hiring ex-offenders" and "Criminals to be handed clean slate"
- Charity Job: "Employing Ex-Offenders, does the Charity Sector Do Enough?"
- Going Forward into Employment guest blog: "Working with prison leavers"
- Wonkhe blog: "How can people with criminal records access higher education?"
- Times Higher: "Widening participation should include those with a criminal record"
- Law Gazette: "MoJ urged to do more on criminal records reform"
- Independent Monitor: "Success in the Supreme Court"
- Quarterly articles published in Inside Time
- Unlock posters have been distributed to Magistrates Courts in Kent
- Featured as a case study in Baring Foundation report, "Transforming lives through law"

Social media

- Twitter: we have over 10,000 Twitter followers (up from 9,000 twelve months ago) and organisations including NCVO and the Charity Commission have tweeted positively about our work. Individual trustees and members of staff are encouraged to maintain their own Unlock twitter profiles to promote the work of the charity.
- Facebook: we had 635 Followers at the end of the year (up from 592). We posted 75 times during the year, with most popular posts including comment on the announcement by the (then) Justice Secretary that changes would be made to the Rehabilitation of Offenders Act 1974 (something we have long campaigned for, and still await...) which reached 302 people and received 11 likes/replies/comments and 33 clicks. We do not buy any Facebook advertising / promotions.
- LinkedIn: we have 541 followers (up from 364).

Memberships and working groups

Working in partnership is an important strand of our organisational strategy. We continue to work positively to build relationships and partnerships across government, private sector, statutory agencies, and the voluntary sector, through body membership, board membership, participatory working groups, and formal agreements for collaborative working. Over the past year, significant relationships included:

Membership of:

Small Charities Coalition, Criminal Justice Alliance, Foundation for Social Improvement, NCVO (National Council for Voluntary Organisations), Clinks, Charities Trust, Helplines Partnership, Probation Institute Learning Provider Endorsement Scheme, Institute of Employability Professionals, Email a Prisoner (subscriber), Standing Committee Youth Justice, Information Commissioner's Office, National Association for Youth Justice and Fundraising Regulator and CharityComms.

Working with:

- Ministry of Justice: ongoing; sent briefings, attended meetings, working relationships
- Home Office: regular meetings on policy issues
- Disclosure and Barring Service: regular correspondence and updates
- Transform Justice: developing the #FairChecks movement
- Business in the Community (BITC): collaborating on Ban the Box (removal of criminal convictions tick box on job application forms)
- New Futures Network Employers' Forum for Reducing Re-offending (EFFRR) – working in partnership through our Employment project
- Ban the Box: campaign stakeholder group

ACTIVITIES

STRATEGIC OBJECTIVE 1) PEOPLE MOVING ON POSITIVELY IN THEIR LIVES

Over the past year we have continued to support individuals in several ways:

- One-to-one via our national helpline – theHelpline
- Individual case work
- Support for people in prison
- Support and self-help through online resources (information hub, disclosure calculator, forum, and online magazine)
- Volunteer scheme
- Supporting providers and practitioners

TheHelpline

The helpline provides confidential, accurate, reliable and non-judgmental information, advice, and support for people with convictions. The helpline is still 'peer-delivered' – all trained helpline advisors are staff and volunteers who have convictions - meaning a more empathic response can be provided.

Enquirers are provided with information and advice on the implications of a criminal record. They are empowered with factual knowledge that helps them understand how to improve their individual circumstances – getting jobs, getting into education, and training, getting housing, and improving their financial situation. This means they feel better able to cope in the long term with the challenges of living with a conviction, feel less isolated because they have access to a community of other people who share their desire to move on in life, and, with improved self-confidence, feel more able to engage with wider society. These strengthened emotional foundations lead to better family relationships, improved life outcomes, and reduced motivation to re-offend which, in turn, has a positive effect on wider society.

We securely record and monitor the number and type of enquiries, the information and advice given, the follow-up work undertaken, and the soft and hard outcomes of our work. This year, as in others, we found that by far the largest proportion of enquires were related to employment, from a lack of knowledge about the need to disclose a conviction – and if so, how, and when – to the actions of employers whose policies and practices were unfair or unlawful. People regularly had multiple queries about a wide range of subjects including criminal records, employment, travel, finances, the criminal justice system, specific offences, education, and housing.

Helpline performance

In the past year, we responded to 7,800 enquiries, from 6,220 individuals, by telephone, email, letter, and WhatsApp. Helpline staff also responded to online comments and queries expressed in theForum and on our other websites.

To gauge the performance of our helpline, we carry out several activities. Users are routinely asked to provide us with feedback through web links or by completing paper copies of our feedback form. These not only help us to monitor the support we provide, but also offer other ways of capturing ongoing issues that people are facing. This enables us to track outcomes, as well as identify case studies and success stories that we can publish on our website.

Ten percent of people using the helpline are followed up to find out how they have applied our advice and support and the difference it made. To date, follow-up investigation shows that 23% of calls result in a hard-positive outcome and 30% result in a soft positive outcome.

We ask all callers to complete a survey during a two-week period twice a year. Due to the impact of Covid-19 we were unable to carry out the second survey this year but analysis of the most recent survey showed that 95% of people said they had found what they were looking for; 93% valued our support because it is peer-delivered, and 73% felt it important that we are independent of Government.

Helpline user feedback:

- *“Thanks for your advice, I have to say it's so confusing and distressing when you apply for jobs. In an already small window, to prove yourself... It's one mistake at a really difficult time in my life, and nothing else and yet every time you apply that look of disappointment on a person's face. It does hold you back and has held me back. It's really sad. Sorry to go on but its rehabilitation really because you're never allowed to forget it, not that you do anyway. Anyway, thanks again.”*
- *“D_ was brilliant, he listened to me, gave me time to compose myself every time I became emotional, and provided sound advice. I had no one to turn too, was sick with worry, talking to a peer gave me confidence to not make knee-jerk decisions. You have given me information to use in my representations. I would rate service 10/10.”*
- *“I contacted Unlock for advice regarding a spent conviction that I have on my DBS as I was due to attend an interview for a permanent job. I spoke with L_ who was really helpful, and I would like to say a huge thank you to him for listening to me and his advice. I can now say that due to my honesty like L_ advised I got the job and am due to start shortly. So, thank you so, so much.”*
- *“You responded promptly. I was surprised to receive such a detailed and informative response within just one working day of having made an enquiry. You provided very clear, precise answers to questions that no one else has been able to help me with... regarding disclosure for Enhanced DBS check - about what may and may not be disclosed. I had been unclear as to whether I should disclose certain information. You provided me with responses that will influence my employment applications... Extremely helpful advice indeed.”*
- *“I needed advice about what jobs I could get (offences were nonsexual nor violent). I've also started a new job that didn't say anything about disclosure until I'd started and got my contract. I sent the info to Unlock, who were able to advise me and hopefully this will not impact my position. It's good to know that I have the support of Unlock if my new employers decide to fire me because of 36yr old convictions. It's extremely embarrassing that my new bosses know of my past and it must reflect on how they see me even with an impeccable work history.”*
- *“You gave me a fast and informative answer to my e-mail. It has taken several months to find your website; I have also tried to get information from other sources (solicitors etc.) – all were unable or unwilling to give advice.”*

Our service is valuable even when we are unable to help bring about a positive outcome:

- *“I went in today to hand in my work phone, laptop and pass. I was told at reception to go up, but they have cancelled my pass to get into the office. Again, feeling like I'm a criminal. So just left stuff at reception and left, as it was upsetting... Fuming, as I was good at my job... I'll keep you posted on what their response is. Thank you so much for this. It's a fantastic thing you are doing.”*
- *“...the conviction takes a lot longer to be spent than previously thought, I wish this information was given to you on leaving prison.”*
- *“The support and advice I received, was brilliant. It was explained every step of the way. Even when I didn't understand, the advisor did not hesitate to explain it, until I understood. I would like to thank Unlock. Regardless of the outcome, your service was brilliant, most of all you believed in me and put the time in to help. Thanks again.”*

Individual case work

In certain circumstances where individuals believe they have been treated unfairly because of their convictions, we may decide to challenge an unlawful or discriminatory practice on their behalf. Due to our limited resources, we cannot take on all cases. However, where there is a realistic chance of our work making a difference and/or there is a wider impact that benefits people with convictions, we will look to take cases on. Such cases will fall into one of two categories:

- Individual-level outcomes, where the outcome would help a person's individual circumstances.
- Policy-level outcomes where the outcome might support one of the specific projects we are undertaking or might have a broader impact. Even if unsuccessful, they may provide us with useful case studies to add weight to our policy work.

In the last year we have provided such support for 21 individuals with 9 cases completed and 12 ongoing. The following are examples of successful case work that show the range and complexity of issues.

- We raised the matter of a residents' association being given a copy of a resident's criminal record certificate from a court without the person's consent. The court apologised for its error and implemented revised training for court staff, as well as contacting the residents' association and instructing them to destroy all copies of the information. We went on to research whether this was a widespread problem and discovered that three out of nine courts we approached supplied information on spent convictions. As a result, members of our team met with HM Courts & Tribunals Service (HMCTS) to discuss the issuing of certificates of conviction for spent convictions, especially to unrelated parties. HMCTS issued a notice to courts, followed up with their Data Incident Team and agreed to update the Crown Court Manual.
- We stopped one 'background checking' company carrying out basic checks through Disclosure Scotland rather than the DBS – an incorrect practice resulting in the disclosure of convictions which were spent in England.
- We stopped a university asking applicants to teaching courses to provide details of unspent convictions of people they live with. This information had previously been required for "Disqualification by Association" rules, which were scrapped in September 2018.
- We challenged ineligible or misleading questions in application/recruitment processes carried out by a chartered institute, a charity working with homeless people, a county council, a university, a royal academy, and a regulation authority.
- We engaged with a borough council about collection of applicants' unspent convictions. The council confirmed it relied on the lawful basis of consent – meaning, in theory, that applicants can choose not to disclose. It is now preparing updated forms and guidance for applicants.

We are grateful to the Information Commissioner's Office (ICO) which has regularly upheld our queries and helped persuade several organisations and businesses of the seriousness of the complaints.

Support for people in prison

Unlock's helpline telephone number is listed as an approved number that people in prison can use without prior permission or cost. Unlock continues to provide a quarterly column for the prison newspaper, InsideTime, reaching around 60,000 people per edition. Each column focuses on raising awareness of key issues relevant to people in prison as they prepare for release and alerting them to Unlock's support activities before and afterwards.

A conviction disclosure workshop, attended by 35 people, was delivered at HMP Ashfield.

Support and self-help through online resources

Unlock's helpline capacity is limited and our beneficiary group potentially large. Our ethos therefore is to encourage self-help and we offer online resources to enable this, making sure that people can find the information they need, at a time and in a way that suits them best. We have six active websites, each with a separate purpose. Our main website (www.unlock.org.uk) provides links to the other five:

- theInformationHub (hub.unlock.org.uk)
- theCalculator (www.disclosurecalculator.org.uk)
- theForum (forum.unlock.org.uk)
- theRecord (www.the-record.org.uk)
- Recruit! (recruit.unlock.org.uk).

Monitoring and measuring online resources:

The success of our online support is measured by the numbers of people we reach (recorded by Google Analytics) and their satisfaction at the support they receive (judged by the level and type of feedback they give). In the past year there

were:

- 1,132,371 unique visits to theInfoHub
- 3,726 people subscribing to theInfoHub news & updates mailing list
- 45,751 uses of theCalculator
- 3,764 theForum members, with 1,303 new posts during the year
- 110,805 unique visits to theRecord webpages, and we published 39 articles.
- 3,584 people subscribing to theRecord newsletter updates

Interactivity and feedback:

We capture and analyse feedback from website users through:

- Disqus: all articles and blogs on our websites have the facility for people to comment or start (or respond to) a discussion. Any contributions made through Disqus are reviewed before being made live and, if appropriate, a member of staff will follow-up. There were 486 comments and 372 votes received this year
- Wufoo: this is a more general feature that enables people to give feedback about their experiences of using either the helpline or the websites (we receive an average of 10 of every month)
- 6-monthly pop-up survey

TheInformationHub

Unlock's online information hub is a comprehensive, independent source of information on a wide range of issues affected by criminal convictions. The site is updated regularly and designed to be as easy to use as possible (given the complexity of the subjects covered and the way they inter-relate).

Many of the subjects were updated or expanded this year including: identifying whether your offence is a Crime Involving Moral Turpitude (CIMT); what does an employer see when checking your criminal record; using the DBS Update Service; your right to be forgotten; a "Do I need to disclose my criminal conviction" tool; the hidden job market; opening a basic bank account and understanding the role of prepaid cards; extended sentences; Ban the Box employers; template letters for individuals to use to challenge ineligible DBS checks; advice on travelling to Russia; update on fee changes for DBS checks.

We continue to offer a variety of communication channels for our users and have experimented this year with live web chat and have introduced a new helpline email contact form.

TheInformationHub is routinely used by staff working at many other organisations and we are pleased to make our materials and resources freely available to help the widest possible number of people.

Information hub user feedback includes:

- *"My 17-year-old son has been arrested. He will plead guilty later this month. He's a really good kid who has made a huge mistake. He is crushed. We all are. I'm heart broken. Having reliable and up to date information on how a criminal record can affect one's future has been a true source of support. It honestly feels a bit like a bereavement at the moment. Your website has been a source of hope. Things look dark now, but we'll get him through this. I needed information and your website provided it."*
- *"Clear explanations without having to spend on solicitor fees."*
- *"...I have been searching for so long to get proper and clear information... and I could honestly say that all my doubts were gone right away when they released from your website. Thank you."*
- *"The explanations were simple, concise, to the point and easily readable"*
- *"Incredibly useful advice, comprehensive website."*

TheCalculator

Unlock's disclosure calculator is a free, instant, and confidential way for people to find out when their record is spent and no longer needs to be disclosed. The tool copes with multiple convictions, non-standard sentence/disposals, and a mixture of different sentences. It was used 45,751 times this year by individuals, statutory agencies, service providers and private companies. A "how to" video has been created and is available to help people use the calculator effectively. In February 2020, we removed the need for third party organisations extensively using the calculator, to buy a licence.

The calculator has been used more than 200,000 times in the last 4 years. 55% of users find that all their convictions are spent, with about 40% getting results with some unspent convictions. Most notably, about 5% of users get a result that means their conviction will remain unspent for the rest of their life.

During the last year, we have supported the Ministry of Justice (MoJ) with the development of their own similar

disclosure tool. We have consistently pressed for an improved government system, using their ability to access the police database (which Unlock, as an independent charity cannot do). This would offer the possibility of a free check system which would also show any current unspent convictions and give dates for when those convictions will become spent. As it stands, the MoJ has developed a similar online tool that relies on user-inputted information, and we have continued to support this work and wrote a blog about it in March 2020.

Feedback on Unlock's theCalculator includes:

- *"I used your calculator to show my job coach that I have to disclose my conviction to an employer."*
- *"I used the calculator and was able to determine that my sentence has been spent. This will open many doors because I've always thought I had to answer yes to the felony question."*
- *"It made things much clearer and accessible"*

TheForum

With 3,764 members, theForum provides a unique, national peer-networking opportunity for people who want to move on from their convictions. Unlock's role is as facilitator, allowing people their own space to share experiences and talk about how they feel, anonymously if preferred. There is little opportunity for this in the "real" world, where many people with convictions feel ashamed or just do not meet people in the same situation. Any member can start a discussion thread on theForum from asking a simple factual question to sharing ways they personally have dealt with a situation.

The strength of theForum can often be seen in the way members support each other emotionally and to an extent that Unlock would be unable to provide directly. Popular threads this year include 'friend thinking of disclosing my conviction to neighbours'; 'police access to my flat'; 'polygraph testing' and 'has the Schengen system changed'. We encourage theForum members to use our other online resources, and this year, introduced a "What's new in the community" section which brings together positives stories and information from other Unlock sites.

TheRecord

TheRecord is an online magazine with a regular stream of content that aims to:

- Provide a space for people with convictions to share their stories, experiences, and challenges in living as a law-abiding person with convictions
- Give people hope and inspiration for the future, providing examples of what is possible and how to deal with difficult circumstances
- Feature latest news and opportunities relevant to people with convictions
- Provide people with a platform to share their views and promote the positive work they have done since their conviction(s)

In 2019/20 we published 39 articles (an average of just over 3 each month) as well as sharing information from other organisations, including paid and voluntary opportunities. One story was from "Laura" who described the life-long effect of getting a criminal conviction as a teenager:

"I'm 65 years of age. Forty-five years ago, when I was about 20 years old, I was arrested and received a conviction for two counts of possession of cannabis and was given a community order and a fine. My record has been clean ever since then.

Following my conviction, I went to university and obtained a degree in librarianship. At that time there weren't really any such thing as criminal record checks... I applied to work as a librarian in a school in 1981... my career went from strength to strength. I continued working in education until a school caretaker called Ian Huntley was found guilty of murdering 2 schoolgirls. From that date on, any job that involved working with children or vulnerable adults required you to have an enhanced criminal record check (known as CRB checks at that time).

The school I was working for at the time did as they were required to do and carried out the check on me. As soon as they were presented with the certificate I was called in for an interview. This was an awful experience and extremely embarrassing but ultimately, my employers felt that as I had an exemplary work record, they'd be happy for me to continue in my role. However, whenever I applied for other jobs, I knew that enhanced checks would be carried out and I'd have to disclose my conviction. This happened for the 27 years that I worked as a librarian and although my applications were successful for the majority of the jobs that I applied for, I'm aware that I've also been refused jobs because of this conviction. I'm currently working on a part-time basis as an examination invigilator and again had to disclose my 45-year-old conviction.

I've recently booked a holiday to the USA and because I was honest and ticked the 'Yes' box on the Visa Waiver application, I was refused an ESTA and will now have to apply for a visa. This is going to cost me

approximately £300 in total and will involve an interview at the US Embassy which I'm really not looking forward to at all... Having to disclose my conviction at the age of 65 for something that I did 45 years ago makes me feel like I'm continually being judged and punished for something that happened a very long time ago."

Another contributor, "Ian" described how changes in rules led to him losing a job he had held for 25 years:

"In my early 20's I was arrested for armed robbery and in 1988 received a prison sentence of 7.5 years. Like many people with convictions, finding a suitable career upon release was not easy but I was determined to put that life behind me and I never gave up searching for a career rather than just a job... In 1994 I secured a position in the accounts department of a law firm as an accounts assistant. Few companies asked about criminal records at that time and my employer was no different.

Over the years I progressed internally becoming assistant manager and then after 11 years I took the lead on a newly created role as billing coordinator. The past 14 years have seen me build on this and four years ago I became manager... without being too boastful, I had an exemplary work record.

My life outside of the 'office' also grew. I met my wife in 1993 and we celebrated our 22nd wedding anniversary this year with our two sons. We settled into an average, suburban life, something I never thought I would be able to enjoy. After almost 25 years working for this company and building a new life with my wife and sons, I now find myself in a very difficult situation where I have become unemployed again.

My company decided to carry out retrospective background checks on all employees in order to comply with the Solicitors Regulation Authority (SRA) and with current and prospective client engagement letters. Even before the process began, I decided to disclose my conviction to one of the managing partners, who raised it with both the SRA and an outside employment law specialist... the SRA made the decision that my role was not eligible for this type of SRA approval and that I didn't need to go through the process again in any future job. The advice my employers received was discussed amongst a small number of the partners and, despite a faultless employment history and the fact that I'd worked for the company for approximately 25 years, the decision was made to terminate my employment.

I'm still in total shock over what has happened and how I've been treated. The people that made the decision to terminate my employment were people I'd known for 25 years; I didn't just think of them as my employers but also as friends. I was obviously nervous about disclosing my conviction to them and I knew that they'd probably be shocked, but I didn't think that it would result in my dismissal. I honestly thought that they'd use my 25 years of work experience to make a decision rather than something that happened 31 years ago to a very different person."

News & updates mailing list

Unlock has an open subscription mailing list where people can choose to receive one or more periodic updates and publications. Especially helpful for individuals with convictions, practitioners, and employers, they include:

- News/updates from the information hub for people with convictions (sent monthly)
- Quarterly newsletter – a summary of all updates, sent to everyone on our public mailing list
- Unlock News – latest news and updates about Unlock, our policy work, news & media, and vacancies (sent on an ad hoc basis)
- News/updates relating to recruiting people with convictions specifically for employers and recruiters (sent on an ad hoc basis)
- News/updates including training opportunities for front-line practitioners (sent on an ad hoc basis).
- Press releases are sent to our media list and to those who subscribe

Recruit!

Recruit! is Unlock's website for employers, developed as part of our Fair Access to Employment project, funded by the Esmée Fairbairn Foundation. Through this website we provide advice, guidance, and templates for employers to use to develop fair recruitment policies and practice. In the past year, the site was used 32,272 times by 26,147 new users, who between them accumulated 54,131 page views.

Many employers contacted us to confirm information or ask advice, after looking at Recruit! and in some cases this led to in-depth policy reviews and tailored, detailed advice. This not only showed the value of the site's open-access resources and enabled us to reach more employers, but also created a workload as we responded to the needs of employers who are proactive in improving their policies and practices. This project is reported on below.

Online support in relation to our policy work

Users are encouraged to become contributors to all our online channels (especially theForum and theRecord), sharing individual stories and providing peer support for others in similar circumstances. This powerful sense of community provides 'soft' support and empathy as well as hard, useful facts. The experiences of our users directly influence our policy work. We note recurring issues and identify where a change of policy or law might improve circumstances for many people.

Volunteer scheme

Volunteers are crucial to the delivery of Unlock's direct support for individuals. We have continued to run a volunteering scheme for people with convictions, including serving prisoners, to train and work as helpline advisors. Others work remotely on tasks including graphic design, research, and writing.

Our volunteers ensure that the helpline is open every weekday. They provide an incalculable quality of emotional as well as practical support. In 2019/20, a total of 12 volunteer helpline assistants contributed 4,286 hours of work, answering 59% of helpline enquiries. Seven of them were community-based and five were serving prisoners.

On leaving their term at Unlock, three volunteers went on to paid work, one went on to another voluntary role and two moved out of area. At the end of March 2020, we had a pool of six active volunteers and continue to actively recruit to increase the team.

All helpline advisors undertake our disclosure training (endorsed by the Institute of Employability Professionals) and are trained in the use of Lamplight, our online monitoring system. They are managed by our Advice Manager and supervised on a day-to-day basis by our Helpline Coordinator (who was originally a volunteer). Volunteers are encouraged to take an active part in Unlock's activities and are invited to other training opportunities whenever appropriate.

Volunteer feedback includes:

- *"I'd been in prison for 18 months before I started volunteering at Unlock. The training I received was fantastic but sadly made me realise how little prison prepared people for life with a criminal record. Thanks to Unlock I'm much better prepared; I know when and how to disclose my conviction and how long I need to disclose it for."*
- *"Volunteering at Unlock gave me a reason to get up in the morning and helping others made me feel good about myself. Spending time at Unlock gave me the confidence to apply for another voluntary role, this time working face to face with people with convictions. Before Unlock - I wouldn't have been brave enough to put myself forward for something like that".*

We were extremely disappointed when in September 2019, HMP East Sutton Park (ESP) stopped all voluntary work for prisoners. This move had a negative impact on our ability to recruit sufficient volunteers – ESP had been a regular source of excellent volunteers – and more importantly seemed a very detrimental move for the prisoners themselves. We have raised concerns about the wider impact this will have on opportunities for the women and worked with Prison Reform Trust to raise this with the relevant department.

Supporting providers and practitioners: criminal record disclosure training

Our experience is that practitioners working with people who have convictions often receive little training on understanding and supporting people with the long-term effects of their convictions. We regularly receive contact from practitioners who do not feel confident in giving advice to their clients. Mistakes can prove costly, with people missing jobs and other opportunities because of being given inaccurate advice. Some have even gone on to get a further conviction.

Unlock is a small organisation with limited resources but the depth and extent of our specialist knowledge in living with a conviction is unique. Consequently, we can offer a range of training courses to practitioners (individuals and organisations, including statutory bodies) to help ensure they provide accurate, reliable and up-to-date advice and support to their clients.

We provide training (endorsed by the Probation Institute and the Institute of Employability Professionals) primarily in the form of one-day workshops, on criminal record disclosure. Workshops are primarily aimed at organisations and individuals in the criminal and social justice sectors who are advising or working with people with convictions. We also train employers, university admissions staff and charity leaders.

In 2019/20, Unlock:

- Delivered 17 training sessions to 219 people
- Ran in-house training sessions for 12 organisations
- Ran five workshops in London, open to individual practitioners, attended by 68 people, including people from

the NHS, charities, universities, and housing associations

99.6% of attendees who completed feedback forms rated the session Good or Excellent overall; 92% said the workshop was very/extremely relevant to their work, and 94% said they were very/ extremely likely to use something they learned soon.

Feedback included (What was good about the training?)

- *“Because I was coming from such a low base, the amount that I've learnt today has been so valuable. It's also made me think about the wider issue around crime and criminality and the philosophy of rehabilitation.”*
- *“Thank you so much for your time and expertise on Friday, the training really was invaluable and everyone working face to face with clients and supporting them into the workplace should definitely have this! I thought I knew so much, and now realise that my knowledge was seriously lacking. I shall print these out and keep them somewhere very safe for regular review. CA Sussex Partnership NHS Foundation Trust”*
- *“I received high quality training that was engaging. I expected to learn practical information about the DBS process which I did, however I also learned a great deal more about the way the system works and how without understanding, it can be very unfair so I am grateful for the education.”*

Unlock – the place to go

Unlock has gained a powerful reputation as “the place to go” for other organisations to obtain accurate and reliable information. We actively encourage them to use our materials as part of their work in supporting people with convictions. All our publicly available materials are downloadable free of charge as posters and leaflets or can be integrated into the organisation's own materials.

During the year, we met with a National Account Manager at the Department of Work and Pensions (DWP) to highlight the support we offer to people with convictions, and hosted a meeting with NIACRO to share experiences of running a helpline, our volunteer scheme and policy work.

Other new users this year include: The MyTrust, Her Majesty's Prison and Probation Service, BEAM, Shelter, Blue Sky Development, The Derbyshire, Leicestershire, Nottinghamshire and Rutland CRC Ltd, APM and Novus, along with many others.

Signposting to Unlock

Unlock is signposted to by an ever-growing number of employers, universities, statutory agencies, Community Rehabilitation Companies, law firms, banks, voluntary sector organisations, insurance comparison websites, lawyers, and others. These include: Gov.uk prison leavers guide, Information Commissioners Office, NI Human Rights Commission, Money Advice Service, JobCentre Plus, Association of British Insurers, Office for Students, House of Commons Library.

STRATEGIC OBJECTIVE 2) A FAIRER AND MORE INCLUSIVE SOCIETY

Unlock's ‘ear to the ground, voice at the top’ approach means that we listen and learn about the recurring issues that people with convictions face, and identify realistic changes in policy at the systemic and structural level that would resolve those issues. We then work to bring changes about by being proactive and responsive. We do this by:

- Collecting evidence on a range of issues
- Undertaking research
- Responding to consultations and making submissions
- Focusing on key priority issues
- Getting involved in strategic litigation on key issues
- Encouraging better policies and practices in other organisations
- Influencing attitudes across different forums – for example through media work
- Running targeted programmes of work such as our *Fair Access to Employment* project
- Supporting individuals to challenge bad practice by employers and organisations

Evidence and research

- We collaborated with Cambridge University on a project exploring the legal framework and potential routes for an individual to challenge unfair or unlawful requests for information on criminal records.
- We supported research by PhD student, on the potential influence of a criminal record acquired between the ages of 10-25 later in adulthood.

- We collaborated with University of Nottingham to raise funding for an ESRC (Economic and Social Research Council) Doctoral Scholarship. The PhD research will begin in October 2020 and will be supervised by Dr Nicola Carr and Dr Andrew Henley (University of Nottingham) and Dr Rachel Tynan (Unlock).

Consultations, submissions, and publications

- Unlock response – ICO survey – Processing of personal data relating to criminal convictions (February 2020)
- A fresh start for criminal records – Priorities for government in 2020 (December 2019)
- Transforming Lives through Law – Ten examples from civil society organisations (Baring Foundation, November 2019)
- Developing a fair approach to applicants with criminal records – A toolkit for higher education providers (October 2019)
- Policy briefing – EU nationals, settled status and criminal records (September 2019)
- Double discrimination? The impact of criminal records on people from black, Asian and minority ethnic backgrounds (July 2019) – Full report and Executive summary
- Response – Department for Transport consultation – Taxi and private hire vehicle licensing: protecting users (April 2019)

Key priorities: projects, litigation, and key areas of policy work

PROJECTS

Project: Fair Access to Employment

Funding from the Esmée Fairbairn Foundation continued to enable us to extend and develop our work tackling the underlying systemic and practical barriers to employment faced by people with convictions. This programme consists of three strands:

- 1) Improving employers' recruitment policies and practices
- 2) Stopping ineligible / unlawful checks being carried out by the DBS
- 3) Influencing government policy and practice to increase the employment of people with convictions

1) Improving employers' recruitment policies and practices.

This year, we:

- Continued the 'Ban the Box' campaign – highlights include:
 - Redbridge Council and West Midlands Combined Authority have now banned the box for all jobs
 - We were independently contacted by three other local authorities – Corporation of London, Bradford and Monmouthshire – to support their transition to banning the box.
 - A toolkit for local authorities has been produced, but publication delayed due to Covid-19 and the need to reframe the benefits to local authorities of banning the box.
 - We investigated the extent and impact of the roll out of the "Ban the Box" process within Civil Service
 - We supported and/or challenged 51 employers, ranging from public bodies to small companies, to improve their recruitment practice.
 - We provided advice to agents and brokers who work directly with people leaving prison to improve employer engagement and practice.
- Completed research with Prison Reform Trust on the employment of people with convictions for sexual offences (publication due in autumn 2020).
- Spoke at an event held by the Association of Convenience Stores, to engage their members in fair recruitment.
- Developed & tested a 'model' employer review process – now being adapted as a toolkit for employers to check Recruit! Fair recruitment principles against their own practices.
- Developed a new strand of work with the creative industries including speaking about Ban the Box at an event for the arts, culture, and media sectors, hosted by Universal Music, providing sector-specific guidance, and beginning a new collaboration with Geese Theatre.
- Developed our Recruit! website, monitoring usage and developing content accordingly. In the past year, the site was used 32,272 times by 26,147 new users, who between them accumulated 54,131 page views. Most cases where we supported employers arose as a result of them contacting us after viewing our website resources. This included for confirmation of details and in some cases led to in-depth policy reviews and tailored, detailed advice. This not only showed the value of the site's open-access resources and enabled us to reach more employers, but also created a workload as we responded to the needs of employers who are proactive in improving their policies and practices.
- Published sector-specific guidance for recruitment agencies and schools, and published updated guidance for

employers on XpertHR site as contributing editor.

- Worked with Nottinghamshire Youth Offending Team to help them produce specific guidance on disclosure of criminal records for young people.
- Directly challenged 11 cases of employer bad practice including: Hull City Council who were unlawfully collecting criminal records information about household members of new and existing employees; a number of criminal justice charities who were asking misleading questions on application; Sodexo, a large company delivering prison and probation services who were unlawfully collecting protected criminal records from job applicants; a music school who were not clear about protected criminal records, and Humres, a large specialist recruitment company in the construction industry who refuse to employ applicants with unspent convictions.

2) Stopping ineligible / unlawful checks being carried out by the DBS.

Highlights this year include:

- Aim: the DBS to carry out a comprehensive review / improved system for potentially ineligible applications / possible legal challenge against the DBS. This area of work is highly dependent on the government's response to the Supreme Court judgment. The Northern Ireland government amended its disclosure rules in March 2020, and they are now compliant with the judgment. We received multiple assurances from government that they are considering the judgement and will respond quickly, but to date nothing has changed in England and Wales.
- We authored a comprehensive report on ineligible checks and made recommendations to the DBS, government, and employers. This was shared with interested parties to build support for change. We continue to explore possibilities for litigation, although these were hampered by purdah and the general election and are likely to be affected by the ramifications of Covid-19.
- Aim: successfully resolve cases of ineligible DBS checking. We received 115 calls to the helpline regarding ineligible checks in 2019-20 – an increase of 25% on the previous year. In some cases, we advised individuals on how to challenge the employer in question; in others we contacted the employer directly. The increase appears to be as a result of raising awareness of the issue via case studies published on our websites. A highlight was a case brought to us by an individual who had applied to a local authority. Discussions with the local authority led their new HR manager to review DBS checks for all posts and we are supporting them to ban the box for all new roles.
- Aim: bring a legal challenge against an employer / raise awareness of dangers of applying for and processing unlawful checks. Where an individual is willing to go ahead, we always assess whether a case could be suitable for a legal challenge. An example this year was a man who had worked for several years as a cleaner before his employer conducted an enhanced check and dismissed him as a result of a spent conviction. We worked with him to get confirmation from the employer, the ICO and the DBS on whether the role would be eligible. Unfortunately, the employer provided the DBS with a version of his job description that did not meet the criteria for an enhanced check, despite our client never having fulfilled, or been asked to fulfil, the extra duties.

3) Influencing government policy and practice to increase the employment of people with convictions.

Highlights this year include:

- We built a collaborative relationship with the Cabinet Office's Going Forward into Employment (GFIE) programme, which offers fixed-term Civil Service posts to marginalised groups, including prison leavers. We contributed to the development of their recruitment resources and wrote a guest blog for their site, launched in early March 2020. Similarly, we began working with New Futures Network, the Ministry of Justice's employment brokering team, to support employer and applicant training to improve the chances of those in and leaving prison.
- We produced a report on the use of tax incentives to improve employment of people with criminal records. This has been reviewed by the Learning and Work Institute and we are building support with think tanks and influencers who are supporters of the concept, proposing a model based on broad evidence of effectiveness.
- We continued to engage with the DBS on specific issues, particularly in relation to ineligible checks. Our report on ineligible checks has been reviewed by the ICO and shared with strategic partners to build support for a series of recommendations to employers and government but primarily to the DBS.

Project: Employing people with convictions for sexual offences (PCSOs) in partnership with the Prison Reform Trust

The project focused on the employment of PCSOs and involved a survey sent to employers and interviews with prison staff. Initial findings, which showed that employers who receive more information are more open to recruiting people with all types of conviction, were presented to the New Futures Network brokers' and MoJ Employment policy lead at HMP Stafford. The MoJ is forming a working group on employment for this population, recognising significant challenges but that, at 20% of the prison population, these cannot be overlooked. The project's recommendations will be a

foundation for that work.

Project: Unlocking Experience

2019-20 saw the conclusion of *Unlocking Experience*, a three-year project funded by the Barrow Cadbury Trust to examine the structural barriers to desistance from crime and resettlement faced by three specific demographic groups: young people, BAME people and women, who often experience greater inequality than other groups. This year we published our report *Double discrimination? The impact of criminal records on people from black, Asian and minority ethnic backgrounds (July 2019)*. The final part of the project was a survey of women with criminal records and the results will be published as a report in late 2020.

Project: Unlocking students with criminal records

This year we continued our work to support fair access to university, building on our work with UCAS (Universities and Colleges Admissions Service) and developing good practice with universities.

People with convictions are drawn from the same groups UCAS and the government call “disadvantaged”, i.e. those least likely to progress to university. Evidence shows that some groups are disproportionately criminalised: BAME (black and minority ethnic) people, care leavers, people from low income households and people with learning difficulties and/or disabilities. Along with mature students and first-in-family, these groups are under-represented at university. Despite education being widely recognised as a key factor in successful rehabilitation, benefiting people with convictions, their families, communities, and the institution itself, current admissions policies present serious psychological and practical challenges to access. Universities have complex and differing policies and procedures. Good practice is often not followed and some universities have a poor track record of treating individuals fairly.

In 2018, UCAS announced that they would no longer be asking all applicants to declare unspent criminal convictions meaning that universities needed to review their approach and decide if, when and how to collect this information. In collaboration with Unlock, UCAS produced some good practice resources and hosted a seminar to explore the changes in more detail.

For the 2019 university entrance cycle, UCAS removed the requirement for all applicants to declare whether they have any relevant unspent convictions, asking only applicants who apply for certain courses to declare these (for example courses involving work with children and vulnerable adults, such as medicine, teaching, or social work).

Following this change, Unlock worked with several universities to encourage a fair approach to students with convictions. Last year we worked with Cardiff University, Goldsmiths, and the University of Southampton to support them to develop fair admissions policies and implement best practice procedures. This 12-month project was supported by the UPP Foundation. The project completed this year with the publishing of a Fair Admissions Toolkit for higher education providers, and launch of the national Fair Chance Pledge for institutions to sign up to, to show their commitment to offering a fair chance for students with a criminal record, at a roundtable event with heads of admission in October 2019.

To date, the following universities have signed up to the pledge: Exeter, Wrexham, Bournemouth, Nottingham, Essex, Royal Holloway, Bristol, Kent, Hull, London Metropolitan, Bloomsbury Institute, Birkbeck, Cardiff, Lincoln, West of England, Liverpool, Southampton and Keele.

Other outcomes included:

- The Bloomsbury Institute London became the first higher education institute to Ban the Box for staff
- We provided guidance on policy development to Glasgow University and UEA
- The Office for Students published best practice guidance for universities with reference to Unlock
- The Ministry of Justice has confirmed that the Probation Service should not disclose spent convictions

Work on this project continues at a reduced level pending further funding being secured.

Project: EU nationals' settlement

Funded by the Barrow Cadbury Trust we undertook research that highlighted concerns about the EU Settlement Scheme (EUSS) in relation to EU nationals with criminal records in the UK. Our project aimed to help secure the rights of EU nationals to settled status in the UK by ensuring that a criminal record does not unfairly exclude them.

Activities included:

- A briefing for stakeholders and practical information published July 2019.
- We attended European Commission Monitoring Network meetings in July and September and spoke specifically to the issue of criminality in September meeting

- We published a briefing for stakeholders in September, which was sent to the Home Office. The Home Office has committed to giving a response (awaited)
- A roundtable event in September 2019

Further funding from the Barrow Cadbury Trust will allow us to monitor the situation going forward with our next steps to be decided following the Home Office's anticipated response.

LITIGATION

On 30 January 2019, the Supreme Court gave a long and complex judgement in a case Unlock supported which ruled that two aspects of the criminal records disclosure scheme are disproportionate and in breach of Article 8 of the European Convention on Human Rights; in particular:

- The blanket rules which require the automatic disclosure of all convictions where a person has more than one conviction
- The requirement that some childhood cautions be disclosed indefinitely

We were pleased that the judgement provides a crucial step towards achieving a fair and proportionate filtering system that takes a more calibrated and targeted approach to disclosing criminal records. When taken together with reviews by the Law Commission, Justice Select Committee, Charlie Taylor, and David Lammy MP, there is a powerful case for a fundamental review of the wider criminal records disclosure regime. We have continued to remind the government of their responsibility to respond to the judgement and press for comprehensive change. However, the wider, rapidly changing political climate has meant that it has been hard to gain traction. See *Challenging the Disclosure and Barring Service below*.

This year we received a grant from the Baring Foundation to help us continue pressing the government to implement the findings of the Supreme Court, as well as pushing for a wider review of the criminal records regime.

We continue to compile information and evidence for potential further litigation including how individuals have been affected by the rules relating to multiple convictions, reprimands and youth cautions, and monitor cases where individuals have had an offer of employment withdrawn based on disclosure.

Planned work for 2020-21 includes:

- DBS filtering – potential for further litigation given the lack of urgency in MoJ response to ruling
- Spent convictions – exploring possibilities for litigation under the Rehabilitation of Offenders Act and General Data Protection Regulation
- Google-effect – a planning strategy meeting with a leading law firm is pending
- An EU nationals, settled status and criminal records roundtable event found potential cases where a criminal record has affected settled status

OTHER KEY AREAS OF POLICY WORK INCLUDE:

Further reform of the Rehabilitation of Offenders Act 1974 (ROA)

Unlock has long campaigned for fundamental changes to the Rehabilitation of Offenders Act 1974 (ROA), which is the principal legislation that governs the disclosure of criminal records to employers, educational institutions, insurers, and housing providers. The current law means that:

- Rehabilitation periods are too long: rehabilitation periods start at the end of a sentence, meaning that even those who can become legally rehabilitated may have a lengthy gap in their work history, which can be as damaging as disclosing a criminal record
- Some convictions can never become spent: more than 8,000 people every year receive sentences that mean they can never be legally rehabilitated
- Rehabilitation periods are incoherent: for example, an 8-month prison sentence for ABH becomes spent before a fine and penalty points for speeding
- There is no legal protection for spent convictions: rehabilitated people are powerless to prevent employers, housing providers and others using spent convictions to exclude them

We are calling on the Home Office and the Ministry of Justice to launch a major review of the legislation on the disclosure of criminal records. Given the importance of understanding the experiences of those with criminal records (and other points of view) we believe the review should be an open policy making process as recommended by the Cabinet Office. This means engaging with a broad range of experts and people with experience. Specifically, Unlock is calling for:

- All convictions to be capable of becoming spent
- Amendment of anomalies in rehabilitation periods
- Introduction of a tribunal process
- Reduction of rehabilitation periods

Our work this year included publishing a comprehensive briefing on ROA reform for the Justice Select Committee in June 2019. We then met with the Ministry of Justice to discuss reform, then later with the Secretary of State for Justice's team ahead of the MoJ's July announcement of its forthcoming policy with proposals for reform.

We also supported Unlock's President, Lord Ramsbotham's Criminal Records Bill. The Private Member's Bill had been lost due to the dissolution of Parliament then put back on the legislative timetable with its first reading in January 2020, now continuing through Parliament.

As noted earlier in this report, we worked with Transform Justice to launch the #FairChecks movement, calling for the government to reform the disclosure of criminal records so minor and very old crimes do not appear on standard and enhanced criminal records checks, meaning that those who have turned their lives around are not forced to reveal their convictions long after they have served their sentence.

Challenging the Disclosure and Barring Service (DBS) to extend its 'filtering' process

We continue to work closely with the DBS to increase their understanding of the circumstances of people with convictions. We have sustained pressure on the agency to carry out a comprehensive review of how the DBS identifies ineligible checks and to be decisive in the action they take when they find evidence of these.

Unlock continues to campaign for a fairer, proportionate, and flexible filtering system that protects the public without unduly harming the ability of people to move on from their past. We have pressed the government to:

- Remove the 'multiple convictions' rule and so enable more than one conviction to be filtered.
- Reduce the list of offences not eligible for filtering
- Create a distinct system for the disclosure of criminal records acquired in childhood and take a more nuanced approach to those acquired in early adulthood
- Introduce a discretionary filtering process, with a review mechanism, which could be accessed by people whose criminal records are not covered by automatic filtering rules
- Make a fundamental review of the criminal records disclosure regime and the Rehabilitation of Offenders Act 1974 to address systemic issues

In the past year we:

- Wrote to Her Majesty's Prison & Probation Service (HMPPS) CEO for clarification on whether filtered convictions/cautions are disclosable for HMPPS posts. Case law suggests the Ministry of Justice (MoJ) vetting and compliance team say that they should be disclosed. The MoJ confirmed that filtered cautions and convictions need not be disclosed for HMPPS/MoJ roles. Although these will be visible on the Police National Computer checks carried out as part of vetting, the compliance team are aware that these roles are not exempt from filtering and must therefore be ignored
- Spoke at Youth Justice Board (YJB) voluntary sector group, supporting its call for reform
- Met with Charlie Taylor (Chair of the YJB) to support the development of its policy position

In January 2020 – one year after the Supreme Court judgement – we launched a new public campaign #Fairchecks in partnership with Transform Justice. To date, the campaign has resulted in:

- Over 700 letters to MPs
- Over 300 MPs responses

Stopping the 'Google-effect' for people with spent convictions

We continued to refer individual cases to the Information Commissioner's Office but there has been a reluctance to issues broader guidance on the balance of the right to privacy and benefit of some information being in the public domain.

Supporting people with convictions to become charity trustees

We have continued to support a small number of charities and individuals who have been affected by the Charity Commission disqualification rules requiring individuals with certain unspent convictions to obtain a waiver from the Commission in order to become a trustee or senior manager. In May we published a blog written by a charity CEO that

we supported in successfully navigating this process, written from the dual perspectives of both the applicant and the charity itself.

We have also continued to push the Charity Commission and the Department for Digital, Culture, Media & Sport (DCMS) to look at the approach taken. This included raising concerns in February in response to figures highlighting a small number of applications and a high number of refusals, as well as feeding in to a review conducted by DCMS into the Charity Act provisions.

Ensuring fair treatment by insurance companies

We continue to get calls to our helpline about problems with applications for insurance which include badly worded questions and automated refusals to cover. This year the Association of British Insurers published updated guidance for insurance providers, citing research from Unlock. Unlock's response welcomed the guidance but questioned its effectiveness in driving good practice.

Encouraging fair treatment by housing providers

Despite the government's updated Homelessness code of guidance (February 2018), which made clear that convictions that are spent under the Rehabilitation of Offenders Act 1974 should be ignored, we continue to receive helpline enquiries from people who have encountered bad practice (see above re Stevenage Borough Council). As a result, we have been gathering data on exclusionary housing policies which we intend to feed into the Ministry of Housing, Communities and Local Government's consultation on the scope and access of a database of rogue landlords and property agents. We are also contributing to a small project at the Department for Work and Pensions on housing exclusion.

FUTURE PLANS

2020-21 will see Unlock engage in some significant work to underpin the quality of our support for individuals, widen our reach through more effective digital communications, and take the charity forward to the launch of its new strategic plan in 2021. This work will be underpinned by the implementation of a new and ambitious digital strategy. To deliver the strategy, we shall increase staff capacity to include digital and communications expertise as well as invest in website development and resources for individuals.

With more people being able to better access information and advice online, our helpline will be developed to offer more in-depth support for users with enhanced training and support developed for staff and volunteers.

Ongoing funded projects will continue, including tackling access to employment and work to reform of criminal conviction disclosure law and its impact. With government attention now turned to addressing inequities in these areas, we aim to increase our level of engagement to maximise our impact. We again aim to increase staff capacity to drive the work at this crucial time. Work on access to university and higher education whilst unfunded, will continue in a limited capacity pending funds being secured to develop it further.

We look forward to publishing our new strategic plan in 2021.

COVID-19 IMPACT

Following government advice in response to the global Covid-19 pandemic, Unlock's office closed temporarily on 17 March 2020 and our contingency plan put into effect. All office-based staff moved to home-based working; no staff were furloughed as part of the government's dedicated scheme. Unlock uses a cloud-based system to store its records and for day-to-day working, which allowed for as smooth a transition as possible. We continued to provide helpline support to individuals albeit at a reduced level and with fewer volunteers. To mitigate against this, we invested in a Voice over Internet Protocol (VoIP) telephone system that came on stream in July, allowing helpline advisors to take calls remotely from any location. Online resources and support were managed remotely and we published specific online information about Covid-19 as it affects people with criminal records – notably on employment related issues.

The helpline office re-opened in August with safe-working practices put into place. This allowed volunteers to return to work as advisors once more and for the team to work more effectively.

Board meetings now take place using a video link and will continue to do so until social distancing restrictions are lifted.

Delivery of face-to-face training planned for the year has been negatively affected, with no physical sessions being possible resulting in a loss of earned income. However, we have adapted our approach and moved to an online delivery model that will mitigate against this loss and we are grateful to the National Lottery for their support in meeting some of the remaining income shortfall. Nevertheless, with the majority of our grant income for 2020-21 now in place, we are on target to meet our income budget and remain in a strong and stable position going into 2021-22.

FINANCIAL REVIEW

The statement of Financial Activities is shown on page 26. The surplus for the year was £369,048 (2019: £276,636) and net assets also amounted to £369,048 (2019: £276,636).

Reserves policy

Unlock is dependent on grants to sustain its activities. The charity's reserves policy is to maintain enough reserves to enable normal operating activities to continue over a period of up to six months should a shortfall in income occur and to take account of potential risks and contingencies that may arise from time to time. Trustees have therefore agreed to hold reserves on the unrestricted general fund equivalent to six months expected operating expenditure for the year 2020-21, amounting to £171,500. This will allow the charity to continue working and to meet its commitments to staff and other obligations if future income could not be secured.

Any reserves on restricted funds are set aside to fund the specific project or programmes for which the funds were granted. It is common for income to be received in one year, yet programme expenditure straddle one or two years. Reserves for restricted funds therefore represent monies for programmes that are currently on going. Unrestricted funds amounted to £253,453 at the year-end (2019: £216,628). Restricted funds amounted to £225,595 at the year-end (2019: £60,008).

Future funding

To preserve our ability to respond to user needs and advocate fully on their behalf, Unlock will remain independent of statutory funding to deliver services. Where possible, income is earned by delivering services to other organisations such as training, advertising, and speaker engagements, however, it is envisaged that the charity will continue to rely in the most part on charitable grants and donations.

Fundraising report

Donors to Unlock can be assured that we follow the regulatory standards for fundraising. We are registered with the Fundraising Regulator and are committed to the Fundraising Promise and adherence to the Code of Fundraising Practice. This report covers the requirements charities must follow as set out in the Charities Act 2016.

It has cost us £261,000 to deliver our work this year. 85% of this was raised from Trusts and Foundations, 12% was earned from delivery of training courses, and 3% from unsolicited donations from individuals. We do not employ agencies or external workers or suppliers to fundraise for us.

Our website outlines our complaints policy for the public and clearly explains how an individual can complain. We received no complaints in the 2019-20 financial year.

Principal funding sources

Unlock's principal sources of funding for the year were:

- Grants 85%
- Donations 3%
- Earned income 12%
- Investment >1%

We would like to thank all our funders for their generous support during the year, including:

1772 Charity; 29th May 1961 Charitable Trust; 3Ts Charitable Trust; AB Charitable Trust; Avandia Insurance Ltd; The Baring Foundation; Barrow Cadbury Trust; Drapers' Fund; Esmée Fairbairn Foundation; Garfield Weston Foundation; Highway One Trust; J G Hogg Charitable Trust; J Leon Philanthropy; Kent Community Foundation; Noel Buxton Trust; Persula Foundation; Porticus UK; Prison Reform Trust; Sir Jules Thorn Charitable Trust (Ann Rylands); The Law Society Charity; The Society Foundation; UPP Foundation; W F Southall Trust and Whitehead Monckton Charitable Trust.

Our thanks also to significant funders and donors who prefer not to be named, and to the many individual donors choosing to support our work.

We are again grateful to Garden Court Chambers, the Esmée Fairbairn Foundation and Barrow Cadbury Trust for making rooms available for us to hold board and other meetings.

Approved by order of the board of trustees on 15th July 2020 and signed on its behalf by:

A handwritten signature in black ink, appearing to be 'M K Rowe', written in a cursive style.

.....
M K Rowe, Chair of Trustees

Independent examiner's report to the trustees of Unlock National Association of Ex-Offenders ('the Company')

I report to the charity trustees on my examination of the accounts of the Company for the year ended 31 March 2020.

Responsibilities and basis of report

As the charity's trustees of the Company (and also its directors for the purposes of company law) you are responsible for the preparation of the accounts in accordance with the requirements of the Companies Act 2006 ('the 2006 Act').

Having satisfied myself that the accounts of the Company are not required to be audited under Part 16 of the 2006 Act and are eligible for independent examination, I report in respect of my examination of your charity's accounts as carried out under section 145 of the Charities Act 2011 ('the 2011 Act'). In carrying out my examination I have followed the Directions given by the Charity Commission under section 145(5) (b) of the 2011 Act.

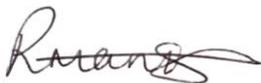
Independent examiner's statement

Since your charity's gross income exceeded £250,000 your examiner must be a member of a listed body. I can confirm that I am qualified to undertake the examination because I am a registered member of Institute of Chartered Accountants in England & Wales which is one of the listed bodies

I have completed my examination. I confirm that no matters have come to my attention in connection with the examination giving me cause to believe:

1. accounting records were not kept in respect of the Company as required by section 386 of the 2006 Act; or
2. the accounts do not accord with those records; or
3. the accounts do not comply with the accounting requirements of section 396 of the 2006 Act other than any requirement that the accounts give a true and fair view which is not a matter considered as part of an independent examination; or
4. the accounts have not been prepared in accordance with the methods and principles of the Statement of Recommended Practice for accounting and reporting by charities [applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102)].

I have no concerns and have come across no other matters in connection with the examination to which attention should be drawn in this report in order to enable a proper understanding of the accounts to be reached.



Rosanna Manser ACA DChA
Institute of Chartered Accountants in England & Wales
Calcutt Matthews WBZ Ltd
Chartered Accountants
19 North Street
Ashford
Kent
TN24 8LF

Date:18.11.20.....

UNLOCK NATIONAL ASSOCIATION OF EX-OFFENDERS LIMITED

STATEMENT OF FINANCIAL ACTIVITIES
(INCORPORATING AN INCOME AND EXPENDITURE ACCOUNT)
for the Year Ended 31 March 2020

	Notes	Unrestricted funds £	Restricted funds £	31.3.20 Total funds £	31.3.19 Total funds £
INCOME AND ENDOWMENTS FROM					
Donations and legacies	2	92,897	259,809	352,706	314,541
Investment income	3	<u>587</u>	<u>-</u>	<u>587</u>	<u>332</u>
Total		93,484	259,809	353,293	314,873
EXPENDITURE ON					
Charitable activities					
Policy and Practices	4	-	136,252	136,252	137,603
Service to Clients		<u>56,657</u>	<u>67,972</u>	<u>124,629</u>	<u>118,164</u>
Total		56,657	204,224	260,881	255,767
NET INCOME		36,827	55,585	92,412	59,106
RECONCILIATION OF FUNDS					
Total funds brought forward		216,628	60,008	276,636	217,530
TOTAL FUNDS CARRIED FORWARD		<u>253,455</u>	<u>115,593</u>	<u>369,048</u>	<u>276,636</u>

UNLOCK NATIONAL ASSOCIATION OF EX-OFFENDERS LIMITED

BALANCE SHEET
At 31 March 2020

		Unrestricted funds £	Restricted funds £	31.3.20 Total funds £	31.3.19 Total funds £
FIXED ASSETS					
Tangible assets	9	3,630	18	3,648	4,022
CURRENT ASSETS					
Debtors	10	1,495	-	1,495	15,990
Cash at bank and in hand		<u>250,445</u>	<u>126,077</u>	<u>376,522</u>	<u>264,110</u>
		251,940	126,077	378,017	280,100
CREDITORS					
Amounts falling due within one year	11	(2,117)	(10,500)	(12,617)	(7,486)
		<u>249,823</u>	<u>115,577</u>	<u>365,400</u>	<u>272,614</u>
NET CURRENT ASSETS					
		253,453	115,595	369,048	276,636
TOTAL ASSETS LESS CURRENT LIABILITIES					
		<u>253,453</u>	<u>115,595</u>	<u>369,048</u>	<u>276,636</u>
NET ASSETS					

UNLOCK NATIONAL ASSOCIATION OF EX-OFFENDERS LIMITED

BALANCE SHEET - CONTINUED

At 31 March 2020

	Notes	Unrestricted funds £	Restricted funds £	31.3.20 Total funds £	31.3.19 Total funds £
FUNDS	12				
Unrestricted funds:					
General fund				253,453	216,628
Restricted funds:					
Persula Foundation				1,500	1,500
Esmee Fairbairn Foundation				27,610	20,728
Kent Community Foundation				4,800	6,000
The 1772 Charitable Trust				167	350
Porticus UK				40,000	-
Barrow Cadbury Trust				-	1,625
Fidelity UK				18	1,249
Drapers Charitable Fund				10,000	-
The Noel Buxton Trust				1,250	1,250
Highway One Trust				7,500	-
Garfield Weston Foundation				-	6,250
Sir Jules Thorn Charitable Trust				250	188
W F Southall Trust				-	1,000
29th May 1961 Charitable Trust				1,500	1,250
Whitehead Monckton Charitable Trust				-	1,000
UPP Foundation				-	4,915
The Society Foundation				-	120
The Law Society Charity				-	3,750
Barrow Cadbury Trust - EU Nationals				-	8,833
The Baring Foundation				<u>21,000</u>	<u>-</u>
				<u>115,595</u>	<u>60,008</u>
TOTAL FUNDS				<u>369,048</u>	<u>276,636</u>

BALANCE SHEET - CONTINUED

At 31 March 2020

The charitable company is entitled to exemption from audit under Section 477 of the Companies Act 2006 for the year ended 31 March 2020.

The members have not required the company to obtain an audit of its financial statements for the year ended 31 March 2020 in accordance with Section 476 of the Companies Act 2006.

The trustees acknowledge their responsibilities for

- (a) ensuring that the charitable company keeps accounting records that comply with Sections 386 and 387 of the Companies Act 2006 and
- (b) preparing financial statements which give a true and fair view of the state of affairs of the charitable company as at the end of each financial year and of its surplus or deficit for each financial year in accordance with the requirements of Sections 394 and 395 and which otherwise comply with the requirements of the Companies Act 2006 relating to financial statements, so far as applicable to the charitable company.

These financial statements have been prepared in accordance with the provisions applicable to charitable companies subject to the small companies' regime.

The financial statements were approved by the Board of Trustees on 15th July 2020 and were signed on its behalf by:



.....
M K Rowe, Chair of Trustees

1. ACCOUNTING POLICIES

Basis of preparing the financial statements

The financial statements of the charitable company, which is a public benefit entity under FRS 102, have been prepared in accordance with the Charities SORP (FRS 102) 'Accounting and Reporting by Charities: Statement of Recommended Practice applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102) (effective 1 January 2015)', Financial Reporting Standard 102 'The Financial Reporting Standard applicable in the UK and Republic of Ireland' and the Companies Act 2006. The financial statements have been prepared under the historical cost convention.

Income

All income is recognised in the Statement of Financial Activities once the charity has entitlement to the funds, it is probable that the income will be received and the amount can be measured reliably.

Expenditure

Liabilities are recognised as expenditure as soon as there is a legal or constructive obligation committing the charity to that expenditure, it is probable that a transfer of economic benefits will be required in settlement and the amount of the obligation can be measured reliably. Expenditure is accounted for on an accruals basis and has been classified under headings that aggregate all cost related to the category. Where costs cannot be directly attributed to particular headings they have been allocated to activities on a basis consistent with the use of resources.

Allocation and apportionment of costs

Where costs cannot be directly attributed to particular headings they all have been allocated to activities on a basis consistent with the use of resources.

Support costs are allocated to charitable activities on the following bases:

Staff, communication and office costs - Staff time.
Premises costs and depreciation - Staff time

Tangible fixed assets

Depreciation is provided at the following annual rates in order to write off each asset over its estimated useful life.

Fixtures and fittings - 25% on cost
Computer equipment - 25% on cost

Taxation

The charity is exempt from corporation tax on its charitable activities.

Fund accounting

Unrestricted funds can be used in accordance with the charitable objectives at the discretion of the trustees. Unrestricted funds include a revaluation reserve representing the restatement of investment assets at market values.

Restricted funds can only be used for particular restricted purposes within the objects of the charity. Restrictions arise when specified by the donor or when funds are raised for particular restricted purposes.

Further explanation of the nature and purpose of each fund is included in the notes to the financial statements.

Hire purchase and leasing commitments

Rentals paid under operating leases are charged to the Statement of Financial Activities on a straight line basis over the period of the lease.

1. ACCOUNTING POLICIES - continued

Pension costs and other post-retirement benefits

The charitable company operates a defined contribution pension scheme. Contributions payable to the charitable company's pension scheme are charged to the Statement of Financial Activities in the period to which they relate.

2. DONATIONS AND LEGACIES

	31.3.20	31.3.19
	£	£
Donations	10,838	29,592
Grants	299,810	231,090
Earned income	<u>42,058</u>	<u>53,859</u>
	<u>352,706</u>	<u>314,541</u>

Grants received, included in the above, are as follows:

	31.3.20	31.3.19
	£	£
Persula Foundation	2,000	2,000
The Alchemy Foundation	-	1,000
The Noel Buxton Trust	2,500	2,500
Tudor Trust	-	20,000
Esmee Fairbairn Foundation	82,830	82,910
Sir James Roll Charitable Trust	-	1,000
The 1772 Charitable Trust	2,000	2,000
Porticus UK	60,000	-
J Leon Philanthropy	10,000	10,000
Drapers Charitable Fund	15,000	-
AB Charitable Trust	20,000	-
Barrow Cadbury Trust (St Sarkis)	11,250	19,500
Aurum Charitable Trust	-	10,000
Highway One Trust	10,000	-
3Ts Charitable Fund	10,000	10,000
The Cole Charitable Trust	-	1,000
Garfield Weston Foundation	-	25,000
Sir Jules Thorn Charitable Trust	750	750
W F Southall Trust	-	3,000
29th May 1961 Charitable Trust	3,000	3,000
Whitehead Monckton Charitable Trust	-	1,600
UPP Foundation	9,830	9,830
The Society Foundation	-	2,000
The Law Society Charity	-	5,000
Barrow Cadbury Trust - EU Nationals	-	10,000
The Clarke Family Fund	-	3,000
Kent Community Foundation Core Costs	10,800	6,000
Prison Reform Trust	<u>9,200</u>	<u>-</u>
Carried forward	259,160	231,090

2. DONATIONS AND LEGACIES - continued

	31.3.20	31.3.19
	£	£
Brought forward	259,160	231,090
Transform Justice	2,650	-
The J G Hogg Charitable Trust	10,000	-
The Baring Foundation	<u>28,000</u>	<u>-</u>
	<u>299,810</u>	<u>231,090</u>

3. INVESTMENT INCOME

	31.3.20	31.3.19
	£	£
Deposit account interest	<u>587</u>	<u>332</u>

4. CHARITABLE ACTIVITIES COSTS

	Direct costs	Support costs (See note 5)	Totals
	£	£	£
Policy and Practices	93,092	43,160	136,252
Service to Clients	<u>74,533</u>	<u>50,096</u>	<u>124,629</u>
	<u>167,625</u>	<u>93,256</u>	<u>260,881</u>

5. SUPPORT COSTS

	Management	Finance	Information technology
	£	£	£
Policy and Practices	31,725	7,431	-
Service to Clients	<u>34,246</u>	<u>7,151</u>	<u>1,758</u>
	<u>65,971</u>	<u>14,582</u>	<u>1,758</u>

	Human resources	Governance costs	Totals
	£	£	£
Policy and Practices	2,103	1,901	43,160
Service to Clients	<u>5,451</u>	<u>1,490</u>	<u>50,096</u>
	<u>7,554</u>	<u>3,391</u>	<u>93,256</u>

6. NET INCOME/(EXPENDITURE)

Net income/(expenditure) is stated after charging/(crediting):

	31.3.20	31.3.19
	£	£
Depreciation - owned assets	1,606	2,446
Hire of plant and machinery	-	574
Other operating leases	<u>10,827</u>	<u>9,403</u>

7. TRUSTEES' REMUNERATION AND BENEFITS

There were no trustees' remuneration or other benefits for the year ended 31 March 2020 nor for the year ended 31 March 2019.

Trustees' expenses

	31.3.20	31.3.19
	£	£
Trustees' expenses	<u>600</u>	<u>459</u>

8. STAFF COSTS

The average monthly number of employees during the year was as follows:

31.3.20	31.3.19
<u>7</u>	<u>7</u>

No employees received emoluments in excess of £60,000.

9. TANGIBLE FIXED ASSETS

	Fixtures and fittings £	Computer equipment £	Totals £
COST			
At 1 April 2019	19,128	17,903	37,031
Additions	<u>-</u>	<u>1,232</u>	<u>1,232</u>
At 31 March 2020	<u>19,128</u>	<u>19,135</u>	<u>38,263</u>
DEPRECIATION			
At 1 April 2019	19,128	13,881	33,009
Charge for year	<u>-</u>	<u>1,606</u>	<u>1,606</u>
At 31 March 2020	<u>19,128</u>	<u>15,487</u>	<u>34,615</u>
NET BOOK VALUE			
At 31 March 2020	<u>-</u>	<u>3,648</u>	<u>3,648</u>
At 31 March 2019	<u>-</u>	<u>4,022</u>	<u>4,022</u>

10. DEBTORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

	31.3.20	31.3.19
	£	£
Trade debtors	<u>1,495</u>	<u>15,990</u>

11. CREDITORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

	31.3.20	31.3.19
	£	£
Accruals and deferred income	10,500	5,470
Accrued expenses	<u>2,117</u>	<u>2,016</u>
	<u>12,617</u>	<u>7,486</u>

12. MOVEMENT IN FUNDS

	At 1.4.19	Net movement in funds	At 31.3.20
	£	£	£
Unrestricted funds			
General fund	216,628	36,825	253,453
Restricted funds			
Persula Foundation	1,500	-	1,500
Esmee Fairbairn Foundation	20,728	6,882	27,610
Kent Community Foundation	6,000	(1,200)	4,800
The 1772 Charitable Trust	350	(183)	167
Porticus UK	-	40,000	40,000
Barrow Cadbury Trust	1,625	(1,625)	-
Fidelity UK	1,249	(1,231)	18
Drapers Charitable Fund	-	10,000	10,000
The Noel Buxton Trust	1,250	-	1,250
Highway One Trust	-	7,500	7,500
Garfield Weston Foundation	6,250	(6,250)	-
Sir Jules Thorn Charitable Trust	188	62	250
W F Southall Trust	1,000	(1,000)	-
29th May 1961 Charitable Trust	1,250	250	1,500
Whitehead Monckton Charitable Trust	1,000	(1,000)	-
UPP Foundation	4,915	(4,915)	-
The Society Foundation	120	(120)	-
The Law Society Charity	3,750	(3,750)	-
Barrow Cadbury Trust - EU Nationals	8,833	(8,833)	-
The Baring Foundation	-	21,000	21,000
	<u>60,008</u>	<u>55,587</u>	<u>115,595</u>
TOTAL FUNDS	<u>276,636</u>	<u>92,412</u>	<u>369,048</u>

12. MOVEMENT IN FUNDS - continued

Net movement in funds, included in the above are as follows:

	Incoming resources £	Resources expended £	Movement in funds £
Unrestricted funds			
General fund	93,484	(56,659)	36,825
Restricted funds			
Persula Foundation	2,000	(2,000)	-
Esmee Fairbairn Foundation	82,830	(75,948)	6,882
Kent Community Foundation	10,799	(11,999)	(1,200)
The 1772 Charitable Trust	2,000	(2,183)	(183)
Porticus UK	60,000	(20,000)	40,000
Barrow Cadbury Trust	11,250	(12,875)	(1,625)
Drapers Charitable Fund	15,000	(5,000)	10,000
The Noel Buxton Trust	2,500	(2,500)	-
Highway One Trust	10,000	(2,500)	7,500
Garfield Weston Foundation	-	(6,250)	(6,250)
Sir Jules Thorn Charitable Trust	750	(688)	62
W F Southall Trust	-	(1,000)	(1,000)
29th May 1961 Charitable Trust	3,000	(2,750)	250
Whitehead Monckton Charitable Trust	-	(1,000)	(1,000)
UPP Foundation	9,830	(14,745)	(4,915)
The Society Foundation	-	(120)	(120)
The Law Society Charity	-	(3,750)	(3,750)
Barrow Cadbury Trust - EU Nationals	-	(8,833)	(8,833)
Prison Reform Trust	9,200	(9,200)	-
Transform Justice	2,650	(2,650)	-
The J G Hogg Charitable Trust	10,000	(10,000)	-
The Baring Foundation	28,000	(7,000)	21,000
Fidelity UK	-	(1,231)	(1,231)
	259,809	(204,222)	55,587
TOTAL FUNDS	<u>353,293</u>	<u>(260,881)</u>	<u>92,412</u>

12. MOVEMENT IN FUNDS - continued**Comparatives for movement in funds**

	At 1.4.18 £	Net movement in funds £	At 31.3.19 £
Unrestricted Funds			
General fund	193,563	23,065	216,628
Restricted Funds			
Persula Foundation	1,000	500	1,500
Esmee Fairbairn Foundation	-	20,728	20,728
The Brook Trust	112	(112)	-
Kent Community Foundation	2,500	3,500	6,000
The 1772 Charitable Trust	-	350	350
Porticus UK	3,667	(3,667)	-
Barrow Cadbury Trust	1,625	-	1,625
Fidelity UK	2,480	(1,231)	1,249
The Noel Buxton Trust	1,250	-	1,250
Charles Hayward Foundation	250	(250)	-
City & Metropolitan Welfare Charity	250	(250)	-
Changing Lives Community First	5,833	(5,833)	-
Highway One Trust	5,000	(5,000)	-
Garfield Weston Foundation	-	6,250	6,250
Sir Jules Thorn Charitable Trust	-	188	188
W F Southall Trust	-	1,000	1,000
29th May 1961 Charitable Trust	-	1,250	1,250
Whitehead Monckton Charitable Trust	-	1,000	1,000
UPP Foundation	-	4,915	4,915
The Society Foundation	-	120	120
The Law Society Charity	-	3,750	3,750
Barrow Cadbury Trust - EU Nationals	-	8,833	8,833
	<u>23,967</u>	<u>36,041</u>	<u>60,008</u>
TOTAL FUNDS	<u><u>217,530</u></u>	<u><u>59,106</u></u>	<u><u>276,636</u></u>

12. MOVEMENT IN FUNDS - continued

Comparative net movement in funds, included in the above are as follows:

	Incoming resources £	Resources expended £	Movement in funds £
Unrestricted funds			
General fund	118,782	(95,717)	23,065
Restricted funds			
Persula Foundation	2,000	(1,500)	500
Esmee Fairbairn Foundation	82,910	(62,182)	20,728
Kent Community Foundation	6,000	(2,500)	3,500
Tudor Trust	20,000	(20,000)	-
The 1772 Charitable Trust	2,000	(1,650)	350
Porticus UK	-	(3,667)	(3,667)
Barrow Cadbury Trust	19,500	(19,500)	-
Fidelity UK	-	(1,231)	(1,231)
The Noel Buxton Trust	2,500	(2,500)	-
Charles Hayward Foundation	-	(250)	(250)
City & Metropolitan Welfare Charity	-	(250)	(250)
Changing Lives Community First	-	(5,833)	(5,833)
Highway One Trust	-	(5,000)	(5,000)
The Cole Charitable Trust	1,000	(1,000)	-
Garfield Weston Foundation	25,000	(18,750)	6,250
Sir Jules Thorn Charitable Trust	751	(563)	188
W F Southall Trust	3,000	(2,000)	1,000
29th May 1961 Charitable Trust	3,000	(1,750)	1,250
Whitehead Monckton Charitable Trust	1,600	(600)	1,000
UPP Foundation	9,830	(4,915)	4,915
The Society Foundation	2,000	(1,880)	120
The Law Society Charity	5,000	(1,250)	3,750
Barrow Cadbury Trust - EU Nationals	10,000	(1,167)	8,833
The Brook Trust	-	(112)	(112)
	196,091	(160,050)	36,041
TOTAL FUNDS	<u>314,873</u>	<u>(255,767)</u>	<u>59,106</u>

13. RELATED PARTY DISCLOSURES

There were no related party transactions for the year ended 31 March 2020.

DETAILED STATEMENT OF FINANCIAL ACTIVITIES
for the Year Ended 31 March 2020

	31.3.20	31.3.19
	£	£
INCOME AND ENDOWMENTS		
Donations and legacies		
Donations	10,838	29,592
Grants	299,810	231,090
Earned income	<u>42,058</u>	<u>53,859</u>
	352,706	314,541
Investment income		
Deposit account interest	<u>587</u>	<u>332</u>
Total incoming resources	353,293	314,873
EXPENDITURE		
Charitable activities		
Wages	132,687	124,209
Social security	12,470	11,376
Pensions	8,160	7,126
Training	6,584	7,101
Travel	4,685	5,492
Subsistence	3,039	563
Employment Project	-	343
Supreme Court Case Legal Costs	<u>-</u>	<u>13,500</u>
	167,625	169,710
Support costs		
Management		
Wages	60,796	56,911
Social security	3,037	2,771
Pensions	2,138	1,867
Recruitment	<u>-</u>	<u>480</u>
	65,971	62,029
Finance		
Other operating leases - rent	10,827	9,403
Insurance	956	951
Repairs & renewals	2,599	481
Conference fees and room hire	<u>200</u>	<u>200</u>
	14,582	11,035

UNLOCK NATIONAL ASSOCIATION OF EX-OFFENDERS LIMITED

DETAILED STATEMENT OF FINANCIAL ACTIVITIES
for the Year Ended 31 March 2020

	31.3.20	31.3.19
	£	£
Information technology		
Software	152	-
Computer equipment	<u>1,606</u>	<u>2,447</u>
	1,758	2,447
Human resources		
Servicing photocopier	-	574
Subscriptions	2,411	1,985
Websites	659	526
Telephone	3,181	2,980
Postage and stationery	1,016	1,152
Bank charges	<u>287</u>	<u>322</u>
	7,554	7,539
Governance costs		
Trustees' expenses	600	459
Accountancy and legal fees	<u>2,791</u>	<u>2,548</u>
	<u>3,391</u>	<u>3,007</u>
Total resources expended	260,881	255,767
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Net income	<u><u>92,412</u></u>	<u><u>59,106</u></u>