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**Pre-employment checks risk assessment template**

This template has been developed to assist employers within the NHS with making risk-based decisions during the pre-employment checks process.

Sometimes there may be exceptional circumstances where there is an urgent requirement to maintain staffing levels or because of an identified risk to patient safety or welfare, in which case a risk assessment may be required. Employers should consider all the available information when permitting a candidate to start in role, including any safeguarding measures that should be made to enable this. You should establish what the perceived level of risk is based on the type of role and responsibilities. This is particularly important in situations where there is a shortfall of evidence about a candidate – a risk assessment can be undertaken to try to obtain the assurances needed so that their employment is able to commence.

As well as helping to navigating potential risks, the template may also be useful for keeping a record of an individual’s pre-employment checks outcomes in one place and can be easily referred to if there are any discrepancies. The template is in Word format and so can be amended to fit your organisation’s requirements, where necessary. It is a guide only. Employers are able to create and implement their own risk assessment documents and processes if they wish to.

When considering the information obtained, should any serious issues/concerns arise (for example a disclosure is returned on a criminal record check that wasn’t declared by the candidate) then it is advisable to arrange a meeting involving the manager responsible for the recruitment, a representative of your HR department and the candidate. Here, further discussions about the issue/concern can take place and a final agreed decision be made. Please refer to your organisation’s own policies and procedures before making any decisions and always make a record of the information discussed. Further guidance on facilitating positive disclosure discussions can be accessed on the NHS Employers [website](https://www.nhsemployers.org/publications/positive-disclosure).

If you have any pre-employment checks queries, please see the [NHS Employment Checks Standards](https://www.nhsemployers.org/recruitment/employment-standards-and-regulation) and the [FAQ page](https://www.nhsemployers.org/articles/employment-check-faqs).

You can also register to use NHS Employers [employment checks e-learning training resource](https://learninghub.nhs.uk/catalogue/nhs-employment-checks).

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| **SECTION A: PRE-EMPLOYMENT CHECKLIST** |
| Name of applicant: |
| Post applied for/current post: |
| Date of assessment: |
| **Identity check** |
| Completed:  Yes  Pending |
| **Right to work check** |
| Completed:  Yes  Pending |
| **Criminal record checks**  For details of disclosed criminal convictions / cautions please use Section B |
| **DBS check** |
| Level of disclosure:  Basic  Standard  Enhanced  Enhanced with adults barred  Enhanced with childrens barred  N/A  Completed:  Yes  Pending  N/A |
| **Adult first barred list check** |
| Completed:  Yes  Pending  N/A |
| **Overseas criminal record check** |
| Completed:  Yes  Pending  N/A |
| Does the applicant have an existing subscription to DBS Update Service?  Yes  No  N/A |
| **Reference check**  For more details in respect of references and employment history please use Section C |
| Completed:  Yes  Pending |
| **Work health assessment (occupational health) check** |
| Completed:  Yes  Pending |
| **Professional registration check** |
| Completed:  Yes  Pending  N/A |
| **Qualifications check** |
| Completed:  Yes  Pending  N/A |
| **Have you established any issues or concerns from the pre-employment checks carried out or the initial interview?** |
| Yes  No |
| **If ‘yes’, please provide details:** |
| **SECTION B: CRIMINAL DISCLOSURES** |
| Has the applicant declared any criminal convictions or cautions in the UK or any other country, or are they under police investigation?  Yes  No  Has the DBS check returned a disclosure which the candidate did not declare?  Yes  No  If ‘No’ to both questions, please go to Section C |
| **Nature of convictions or police intelligence disclosed**  Offence:  Date of caution / conviction:  Please provide details (including age and any sentence) |
| **After exploring and clarifying this information with the candidate please outline further details including:**   * the seriousness and nature of the offence * circumstances around the offence * whether the individual’s circumstances have changed since the offence * whether the offences are relevant to the post applied for * any other relevant information offered by the applicant. |
| **SECTION C: REFERENCES AND EMPLOYMENT HISTORY** |
| If there are gaps in employment and/or training history has the candidate provided explanation for these? |
| Yes  No  N/A |
| **If applicable provide details** |
| Has the information provided by the referee been compared with information on the application form/in the interview for consistency and accuracy? |
| Yes  No |
| **Please provide details** |
| If satisfactory references were not obtained please outline all efforts made to obtain references |
| **If applicable provide details** |
| Do you have sufficient evidence gathered throughout the recruitment process as to the suitability of the applicant and their fitness to carry out the role? |
| Yes  No |
| **Please provide details** |
| **SECTION D: ADDITIONAL MEASURES**  Please detail any additional measures that will be put in place to ensure new staff are adequately supported and sufficiently supervised so that people are safe, actions to take if any concerns were identified, or the applicant is commencing work before receipt of any recruitment information (e.g. lack of references, delayed DBS check outcome). |
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| 2. |
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**SECTION E: To be completed by all parties carrying out the assessment**

Declaration (tick as appropriate)

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| The information has been fully considered and we are satisfied that it is safe to allow the named individual to commence/continue work.  The information has been considered and we are not satisfied that it is safe to allow the named individual to commence/continue work. |
| **Comments to support decision** |
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**HR representative**

Signed

Print name

Date

**Recruiting manager**

Signed

Print name

Date