

**Appendix 2**

**Pre-employment checks risk assessment**

**SECTION A: To be completed by the relevant Line Manager/Hiring Manager and Human Resources**

Name of applicant:

Post applied for/current post:

Level of disclosure required:

|  |  |  |  |
| --- | --- | --- | --- |
| Enhanced and barred adults[ ]  | Enhanced and barred both[ ]  | Standard are[ ]  | Basic[ ]  |

Division/Department:

Date of assessment:

Name of assessor one (HR Team):

Name of assessor two (Line Manager):

**SECTION B:Pre-employment checks completed**

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| --- |
| Identity checks completed |
| [ ]  Yes [ ]  No [ ]  Pending  |
| Right to work check completed |
| [ ]  Yes [ ]  No [ ]  Pending  |
| Overseas criminal record check |
| [ ]  Yes [ ]  No [ ]  Pending [ ]  N/A  |
| Reference requests completed (Please also complete section D) |
| [ ]  Yes [ ]  No [ ]  Pending  |
| Occupational health check completed |
| [ ]  Yes [ ]  No [ ]  Pending  |
| Evidence of professional registration received and validated |
| [ ]  Yes [ ]  No [ ]  Pending [ ]  N/A  |
| Does the applicant have an existing subscription to DBS Update Service for the same workforce as the role applied for?  |
| [ ]  Yes [ ]  No [ ]  N/A |
| Adult first barred list check completed |
| [ ]  Yes [ ]  No [ ]  Pending [ ]  N/A |
| Have you established any issues or concerns from the pre-employment checks carried out or the initial interview? |
| [ ]  Yes [ ]  No  |
| **Comments** |
| Has the applicant declared any criminal convictions or cautions in the UK or any other country, or are they under police investigation?If ‘No, please go to section D |
| [ ]  Yes [ ]  No  |

**SECTION C: Nature of convictions or police intelligence disclosed – (to be completed by the Hiring Manager/Line Manager and Human Resources during risk assessment meeting)**

|  |
| --- |
| Offence:      Date of caution / conviction:       |
| **Please provide details (including age and any sentence)** |
| Offence:      Date of caution / conviction:       |
| **Please provide details (including age and any sentence)** |
| Offence:      Date of caution / conviction:       |
| **Please provide details (including age and any sentence)** |
| Offence:      Date of caution / conviction:       |
| **Please provide details (including age and any sentence)** |
| Has any other relevant information been disclosed by the police which causes concern? (if applicable) |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Is the person barred from working in regulated activity? (if applicable) |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Does the person have a pattern of offending or other relevant behaviour? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Are the offences relevant to the role applied for? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| What were the circumstances surrounding the offence(s)? |
| **Please provide details** |
| Attitude to the offence(s) |
| **Please provide details** |
| Efforts made to not re-offend |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Is the applicant taking part in a specific remedial/action programme? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Have the individual’s circumstances changed since the offence(s)? If so, how? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Does the nature of the job present any opportunities for the post holder to re-offend in the place of work? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Does the post involve regular one-to-one unsupervised contact with vulnerable people? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Does the post involve direct contact with the public? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| What level of supervision does the post holder receive? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Does the position involve direct responsibility for finance or items of value? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Does the position involve a significant level of trust? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |

**SECTION D:References and evidence of fitness for the role**

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| Has the applicant provided evidence of their conduct in previous employment in health or social care with children or vulnerable adults and the reasons why that employment ended? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Has the applicant declared any disciplinary offences relating to adults at risk and/or children (including any conduct related to safeguarding concerns for which the penalty is ‘time expired’)? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Are there any gaps in the applicant’s employment and/or training history? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Has the applicant provided satisfactory written explanation for all gaps in employment and/or training history? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Have references been obtained and checked to ensure that all specific questions have been answered satisfactorily? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| If references are vague or unspecific, has the referee been contacted and asked to provide written answers or clarification as appropriate? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Has the information provided by the referee been compared with the application form to ensure that the information provided about the applicant and his/her previous employment by the referee is consistent with the information provided by the applicant on the form? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Has the applicant been the subject of any safeguarding-related investigations or concerns? If yes, what was the outcome? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Has the applicant been referred to DBS, other professional body or the Police? If yes, what was the outcome? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| If satisfactory references were not obtained please outline all efforts made to obtain references |
| **Please provide details** |
| Do you have satisfactory information about any physical or mental health conditions which are relevant to the person's capability, after reasonable adjustments are made, to properly perform tasks which are intrinsic to their employment? |
| [ ]  Yes [ ]  No  |
| **Please provide details** |
| Have you followed up any discrepancies or concerns with any of the information provided directly with the candidate)? |
| [ ]  Yes [ ]  No  |
| **Please 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** |
| **Any other relevant information** |
| **Please provide details** |

**SECTION E: Risks of harm identified**

Please record below any organisational risk of harm. This should relate specifically to the impact on the organisation and not the individual.

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| Nature of hazard?e.g. reputational risk, risk of sexual harm, risk of theft |
|  |
| Who might be harmed? |
|  |
| Likelihood of hazard/risk occurring?  |
| **Please select from:**1 = Very unlikely 2 = Fairly unlikely 3 = Fairly likely 4 = Very likely |
| Impact of hazard/risk? |
| **Please select from:**1 = Minor impact 2 = Fairly serious impact 3 = Very serious impact |
| What is the remaining risk based on likelihood and impact? e.g. low/medium/high |
|  |
| What is already/will be done to minimise risk? |
|  |
| What further action is required? |
|  |
| Who is responsible for taking this action and by when? |
|  |

**SECTION F: 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, if any concerns were identified, or the applicant is commencing work before receipt of any recruitment information (e.g. lack of references, DBS Adult First Check )**

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| 1. |
| 2. |
| 3. |
| 4. |
| 5. |

**SECTION G: To be completed by all parties carrying out the assessment**

Declaration by HR Team and relevant manager (tick as appropriate)

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| --- |
| [ ]  The information below has been fully considered and we are satisfied that it is safe to allow the named individual to commence/continue work. |
| **Detail action to be taken below** |
|  |
| **[ ]** The information has been considered above and we are/are not\* satisfied that it is safe to allow the named individual to commence/continue work.\*Delete as appropriate |

 **HR representative**

**Signed**

**Print name**

**Date**

 **Relevant manager**

**Signed**

**Print name**

**Date**