

Pre-Employment Checks Risk Assessment

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

Please complete in full:

Name of applicant:	
Post applied for/current post:	

Level of disclosure required	Enhanced and barred adults <input type="checkbox"/>	Enhanced and barred both <input type="checkbox"/>	Standard <input type="checkbox"/>	Basic <input type="checkbox"/>
Division/Department:				
Date of assessment:				
Name of assessor one (HR Team):				
Name of assessor two (Line Manager):				

SECTION B: Pre-employment checks completed

Nature of check	Yes	No	Pending	N/A
Identity checks completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Right to work check completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Overseas criminal record check	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reference requests completed (Please also complete section D)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Occupational health check completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Evidence of professional registration received and validated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the applicant have an existing subscription to DBS Update Service for the same workforce as the role applied for? COVID-19 roles only	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
Does the applicant have an existing DBS Certificate for the same workforce as the role applied for issued within the last three years? COVID-19 roles only	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
Fast-track emergency barred list(s) checks completed? COVID-19 roles only	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have you established any issues or concerns from the pre-employment checks carried out or the initial interview?	<input type="checkbox"/>	<input type="checkbox"/>		
If yes, please give details				
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	<input type="checkbox"/>	<input type="checkbox"/>		

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)

Question	Please provide details
<p>Nature of caution(s) conviction(s) and other relevant information (Continue on separate sheet if necessary)</p>	
<p>Offence: Date of caution:</p>	
<p>Offence: Date of conviction: Sentence:</p>	
<p>Offence: Date of conviction: Sentence:</p>	
<p>Offence: Date of conviction: Sentence:</p>	
<p>Has any other relevant information been disclosed by the police which causes concern? (if applicable)</p>	
<p>Is the person barred from working in regulated activity? (if applicable)</p>	
<p>Age at time of offence(s)</p>	
<p>Length of time since offence(s)</p>	
<p>Seriousness of offence(s)</p>	

Does the person have a pattern of offending or other relevant behaviour?	
Are the offences relevant to the role applied for?	
What were the circumstances surrounding the offence(s)?	
Attitude to the offence(s)	
Efforts made to not reoffend	
Is the applicant taking part in a specific remedial/action programme?	
Have the individual's circumstances changed since the offence(s)? If so, how?	
Does the nature of the job present any opportunities for the post holder to re-offend in the place of work?	
Does the post involve regular one-to-one unsupervised contact with vulnerable people?	
Does the post involve direct contact with the public?	
What level of supervision does the post holder receive?	
Does the position involve direct responsibility for finance or items of value?	
Does the position involve a significant level of trust?	

SECTION D: References and evidence of fitness for the role

Has 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?	
Has applicant declared any disciplinary offences relating to adults at risk and/children (including any conduct related to safeguarding concerns which the penalty is 'time expired')	
Are there any gaps in the applicants' employment and/training history?	
Has applicant provided satisfactory written explanation for all gaps in employment and/training history?	
Have references been obtained and checked to ensure that all specific questions have been answered satisfactorily?	
If references are vague or unspecific, has the referee been telephoned and asked to provide written answers or clarification as appropriate?	
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?	

Has the applicant been the subject of any safeguarding related investigations or concerns? If yes, what was the outcome?	
Has the applicant been referred to DBS, other professional body or the Police? If yes, what was the outcome?	
If satisfactory references were not obtained please outline all efforts made to obtain references	
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?	
Have you followed up any discrepancies or concerns with any of the information provided directly with the candidate)?	
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.	
Any other relevant questions (please state)	

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.

Nature of hazard? e.g. reputational risk, risk of sexual harm, risk of theft
Who might be harmed?
What is already/will be done to minimise risk?
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 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 prior to receipt of any recruitment information (e.g. lack of references, COVID-19 DBS certificate, .

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)

- 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 Team

Relevant Manager

Signed _____

Signed _____

Print name _____

Print name _____

Date _____

Date _____