

# Employment Checks Policy:

## Risk assessment



It is suggested boards use the following Risk assessment to support the recruitment decision making process. This should be completed in conjunction with the [Employment checks guide](https://workforce.nhs.scot/supporting-documents/guide/employment-checks-guide) (workforce.nhs.scot/supporting-documents/guide/employment-checks-guide).

The Risk assessment should be used if one or more of the following apply:

- All employment checks are complete, but the information is insufficient to make an informed decision.
- There is a request to start employment before the checks are complete.
- New information relating to employment checks has been received.

### Candidate details

**Candidate name**

**Date of risk assessment** (dd/mm/yyyy)

**Role applied for**

**Date of previous risk assessment** (dd/mm/yyyy)  
*If applicable*

### Section 1: References

#### Low risk

- References provided by a previous employer align to information provided within the application process, *or*
- References provided by an education establishment align to information provided within the application process.

#### Medium risk

- There are discrepancies with the information provided by a previous employer, *or*
- There are discrepancies with the information provided by an education establishment, *or*
- References provided by clients and customers confirming self-employment status.

#### High risk

- A previous employer is unable to provide any information, *or*
- A previous educational establishment is unable to provide any information, *or*
- References have not been able to be obtained.

#### Very high risk

- References are suspected to be fraudulent, *or*
- Referees are suspected to be fraudulent.

## Section 2: Qualifications

### Low risk

- There is no mandatory requirement for specific qualifications, *or*
- Qualifications have been presented and are verified as genuine.

### Medium risk

- Qualifications have been presented but have not been verified as genuine.

### High risk

- Qualifications have not been presented.

### Very high risk

- Qualifications are suspected to be fraudulent.

## Section 3: Criminal history

### Low risk

- No record of criminal history, *or*
- There is no requirement to review a candidate's criminal history, *or*
- Board's local disclosure risk assessment suggests the local risk rating is **low**.

### Medium risk

- Board's local disclosure risk assessment suggests local risk rating is **medium**.

### High risk

- Board's local disclosure risk assessment suggests local risk rating is **high**.

### Very high risk

- Candidate is applying to do regulated work and is barred from working with vulnerable groups, *or*
- Board's local disclosure risk assessment suggests local risk rating is **very high**.

## Section 4: Right to work

### Low risk

- Right to Work **has** been established in line with [Home Office Employer's guide to right to work checks](https://www.gov.uk/government/publications/right-to-work-checks-employers-guide) (gov.uk/government/publications/right-to-work-checks-employers-guide).

### Medium risk

- Not applicable.

### High risk

- Not applicable.

### Very high risk

- Right to Work **has not** been established in line with [Home Office Employer's guide to right to work checks](https://www.gov.uk/government/publications/right-to-work-checks-employers-guide) (gov.uk/government/publications/right-to-work-checks-employers-guide).

## Section 5: Professional registration

### Low risk

- Professional registration is current and meets the requirements of the role.

### Medium risk

- Professional Registration contains conditions which **may** impact their fitness to practise.

### High risk

- Professional Registration contains conditions which **will** impact their fitness to practise.

### Very high risk

- Professional registration has not been obtained or has expired, *or*
- Candidate has been removed from the Professional register.

## Section 6: Identification

### Low risk

- Identification has been provided in line with the suggested requirements.

### Medium risk

- Some identification has been presented but does not meet the suggested requirements.

### High risk

- Identification has been provided but is not current.

### Very high risk

- No identification provided, *or*
- Identification suspected to be fraudulent.

## Section 7: Pre-employment check

### Low risk

- An occupational health check is not required, *or*
- Occupational health have advised the candidate meets the health requirements to perform the role.

### Medium risk

- Occupational health have advised workplace changes to the role, *or*
- Occupational health have advised changes to the duties of the role.

### High risk

- Occupational health advise the candidate does not meet the health requirements to perform the role.

### Very high risk

- The policy development group advise that high risk is the max status for this, so under very high risk, you should put not applicable.

## Section 8: Additional employment checks



Please state additional employment checks carried out that are **low risk**

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Please state additional employment checks carried out that are **medium risk**

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Please state additional employment checks carried out that are **high risk**

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Please state additional employment checks carried out that are **very high risk**

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## Risks reviewed summary

Please input the total number of risks reviewed.

Number of risks reviewed should **not be less than 7**.

-  **Low risk**
-  **Medium risk**
-  **High risk**
-  **Very high risk**

- If **one or more** very high risks have been identified, you must liaise with the recruitment lead or human resources to discuss the risk assessment. The candidate should not progress within the recruitment process.
- If **one or more** high risks have been identified, you must liaise with the Recruitment Lead or Human Resources to discuss the risk assessment and any mitigating factors.
- If **one or more** medium risks have been identified, you should liaise with the recruitment lead or human resources to discuss the risk assessment and any mitigating factors before recommending the candidate progresses within the recruitment process.
- If **all** employment checks have been assessed as low risk, you should recommend the candidate progresses within the recruitment process.