

APPENDIX 1: FPPT Checklist

Recruitment												
Task	Task completed by		Comments									
HR Team sign vacancy off within TRAC <ul style="list-style-type: none"> Ensure LCF is incorporated into JD Add comment in TRAC to notify recruitment team that full FPPT assessment is required for the post. Notify hr@nhs.net that position is about to be advertised. Remind recruiting manager that full FPPT assessment is required <u>before</u> an offer is made. 	HR team		Applies to all HWEICB board members and those whose salaries are published within the ICBs Annual Report and Accounts only.									
Commence FPPT checks once preferred candidate is known	Recruitment, Corporate Governance and HR teams		<ul style="list-style-type: none"> Governance - to undertake FPPT checks for board members. HR Team - to work with recruitment team to ensure FPPT for VSMs are completed and recorded. ESR team to record outcome of checks on ESR on behalf of Chief of Staff/Governance team and HR teams. 									
Recruitment team to keep the Chief of Staff/Governance team updated on recruitment status and potential start date.	Recruitment team											
Undertaking and recording FPPT checks (ESR/personnel file)												
Task	Task completed by	Record in ESR	Copy required on personnel file	Recruitment Test	Required annually	Required for VSM	Required for Board member	FPPT check completed & recorded on ESR by (initial appointment)	FPPT check completed & recorded on ESR by (annual checks)	Requires validation in ESR	Source	Comments
First name	Recruitment team/ HR teams	✓	✓	✓	N/A unless change	✓	✓	ESR Team	N/A unless change	No	Application and recruitment process.	
Second name/surname		✓	✓	✓		✓	✓	ESR Team		No		
Organisation		✓	X	✓	N/A	✓	✓	ESR Team	N/A	No		Current employer
Staff group		✓	X	✓	N/A unless change	✓	✓	ESR Team	N/A unless change	No		
Job title		✓	✓	✓		✓	✓	ESR Team		No		Current job description
Occupation code		✓	X	✓		✓	✓	ESR Team		No		
Position title		✓	X	✓		✓	✓	ESR Team		Yes		

Employment history	Governance / HR teams	✓	X	✓	No	✓	✓	ESR Team	N/A unless change	No	Application and recruitment process, CV, etc.	<ul style="list-style-type: none"> Include detail of all job titles, org departments, dates & JDs. Any gaps that are because of any protected characteristics, as defined in the Equality Act 2010, would not need to be explained.
Training and development		✓	✓	✓	✓	✓	*	ESR Team	ESR Team	Yes	Relevant training and development from the application and recruitment process; that is, evidence of training (and development) to meet the requirements of the role as set out in the person specification. Annually updated records of training and development completed/ongoing progress.	<ul style="list-style-type: none"> The Recruitment Team will request copies of formal qualifications listed as essential on the person specification for the role or listed on the applications for at the point of recruitment. Responsibility for shortlisting suitable applicants based on the person specification and compliance with ongoing training remains with the manager.
References		✓	✓	✓	X	✓	✓	ESR Team	N/A	No	Recruitment process.	<ul style="list-style-type: none"> Once conditional offer accepted and full FPPT assessment complete, BMR should be made using BMR template. 2 references required covering 6-year period. Includes references where the individual resigned or retired from a previous role. Copies of references for initial appointment and exit references required. Available references from previous employers, board member references, including resignations or early retirement.
Last appraisal and date		✓	✓	✓	✓	✓	*	ESR Team	ESR Team	Yes	Recruitment process and annual update following appraisal	<ul style="list-style-type: none"> * For NEDs, information about appraisals is only required from their appointment date forward. Copy of appraisal should be saved on relevant personnel file.
Disciplinary findings		✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	Yes	Reference request, personnel file and ESR record	<ul style="list-style-type: none"> Any upheld finding pursuant to any trust policies or procedures concerning employee behaviour, such as misconduct or mismanagement relevant to FPPT, this includes grievance (upheld) against the board member, whistleblowing claims against the board member (upheld) and employee behaviour upheld finding. Applicable to board members recruited both from inside and outside the NHS.
Grievance against the individual		✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	Yes		<ul style="list-style-type: none"> Applicable to board members recruited both from inside and outside the NHS.
Whistleblowing claim(s) against the individual		✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	Yes		

Type of DBS disclosed	Request DBS via Recruitment Team - HR	✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	No	ESR and DBS response.	<ul style="list-style-type: none"> DBS checks required on appointment then 3 yearly. Provided by Matrix Security Watchdog (Capita) via the CSU and re-charged to the ICB. Governance/HR Team to liaise with Recruitment Team to arrange annual checks. Maintain a confidential local file note on any matters applicable to FPPT where a finding from the DBS needed further discussion with the board member and the resulting conclusion and any actions taken/required.
Date DBS received		✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	No	ESR and DBS response.	<ul style="list-style-type: none"> DBS checks required on appointment then 3 yearly. HR requests these on behalf of individual.
Date of medical clearance (including confirmation of OHA)	Recruitment team	✓	✓	✓	N/A unless change	✓	✓	ESR Team	ESR Team	No	Local arrangements	
Date of professional register check (e.g. membership of professional bodies)	Governance / HR teams	✓	X	✓	✓	✓	X	ESR Team	ESR Team	Yes	E.g., NMC, GMC, accountancy bodies	
Insolvency check		✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	Yes	https://www.insolvencydirect.bis.gov.uk/eiir/ https://www.trustonline.org.uk/	<ul style="list-style-type: none"> Insolvency register and County Court Judgement checks.
Disqualified directors register check		✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	Yes	www.gov.uk/search-the-register-of-disqualified-company-directors	
Disqualification from being a Charity Trustee check		✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	Yes	https://apps.charitycommission.gov.uk/trusteeregister/search.aspx?RegisteredCharityNumber=&CurrentLanguage=English&SubsidiaryNumber=&DocType&	
Employment Tribunal Judgement Check		✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	Yes	https://www.gov.uk/employment-tribunal-decisions	
Social Media Check	Request check via Recruitment Team / HR teams	✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	Yes		<ul style="list-style-type: none"> Provided by Matrix Security Watchdog (Capita). Governance/HR Team to liaise with Recruitment Team to arrange annual checks. Name and email address required.
Self-attestation form signed	Governance	✓	✓	✓	✓	✓	✓	ESR Team	ESR Team	Yes		<ul style="list-style-type: none"> To be requested and obtained by Governance (for board members)/ HR Team (for Execs) at interview stage and then on an annual basis.

National insurance number	Recruitment Team HR teams annual checks	✓	N/A unless change	✓	N/A unless change	✓	✓	ESR Team	ESR Team	Yes		<ul style="list-style-type: none"> Additional check where there may have been a change of name highlighted in the initial or annual assessment. Where the applicant declares a name change or presents ID documents in different names, additional proof of ID will be requested to explain the name change e.g. marriage/divorce/deed poll. There is no way of checking NI number is correct, if incorrect it will be adjusted via HMRC notification.
Sign-off by Chair/Deputy Chair and CEO	Chair, Deputy Chair, CEO with Governance	✓	X	✓	✓	✓	✓	ESR Team	ESR Team	Yes	ESR and DBS response.	<ul style="list-style-type: none"> Includes free text to conclude in ESR fit and proper or not. Any mitigations should be evidenced locally. Chair (for board), Deputy Chair (for Chair) and CEO (for execs) to sign off individuals on BI report (to be retained as audit trail).

Templates to be completed												
Exit reference completed	HR teams	✓	✓	No	No	✓	✓	N/A	ESR Team	Yes	Reference template (Appendix 2 of Framework)	<ul style="list-style-type: none"> Use standard BMR template. Save copy on personnel file. Reference required whether or not a reference has been requested from another employer.
Letter of confirmation		No	✓	✓	✓	✓	✓	ESR Team	ESR Team	N/A	Template (Appendix 4 of Framework)	<ul style="list-style-type: none"> For joint appointments only.
Annual submission	Governance	No	✓	✓	✓	✓	✓	ESR Team	ESR Team	N/A	Template (Appendix 5 of Framework)	<ul style="list-style-type: none"> Annual submission to Regional Director.
Privacy Notice	Governance	No	✓	No	No	✓	✓	N/A	ESR Team	N/A		<ul style="list-style-type: none"> Board letters sent from Chair / other identified colleague letters sent from CEO. Governance hold template letter.
Settlement Agreements	Recruitment team	No	✓	✓	✓	✓	✓	ESR Team	ESR Team	N/A	Board member reference at recruitment and any other information that comes to light on an ongoing basis.	<ul style="list-style-type: none"> Details may not be known/disclosed where there are confidentiality clauses.

Other												
Send copies of recruitment/FPPT documentation to Corporate Gov once recruitment is complete	Recruitment team	N/A	✓	N/A	N/A	N/A	N/A	N/A	N/A	N/A		e.g. offer letters, job description, evidence of FPPT checks, references, CV etc.
Ensure evidence is complete on personnel file (FPPT folder)	HR teams	N/A	✓	N/A	N/A	N/A	N/A	N/A	N/A	N/A		
Prepare declaration form	Governance	N/A	N/A	N/A	✓	N/A	N/A	N/A	N/A	N/A		
Review and sign off declaration form	Chair / Governance	N/A	N/A	N/A	✓	N/A	N/A	N/A	N/A	N/A		
Submission to Regional Director	Governance	N/A	N/A	N/A	✓	N/A	N/A	N/A	N/A	N/A		Annual submission and declaration form
Annual FPPT paper presented to Board in public	Governance	N/A	N/A	N/A	✓	N/A	N/A	N/A	N/A	N/A		
Internal FPPT audit every 3 years	Governance	N/A	N/A	N/A	✓	N/A	N/A	N/A	N/A	N/A		Every 3 years