

Appendix 7: FPPT checklist

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| **FPPT Area** | **Record in ESR** | **Local evidence**  **folder** | **Recruitment**  **Test** | **Annual Test** | **ED** | **NED** | **Source** | **Notes** |
| **First Name** | ✓ | ✓ | ✓ | x – unless change | ✓ | ✓ | Application and recruitment process. | Recruitment team to populate ESR.  For NHS-to-NHS moves via ESR / InterAuthority Transfer/ NHS Jobs.  For non-NHS – from application – whether recruited by NHS England, in-house or through a recruitment agency. |
| **Second Name/Surname** | ✓ | ✓ | ✓ | x – unless change | ✓ | ✓ |
| **Organisation**  (ie current employer) | ✓ | x | ✓ | N/A | ✓ | ✓ |
| **Staff Group** | ✓ | x | ✓ | x – unless change | ✓ | ✓ |
| **Job Title**  Current Job Description | ✓ | ✓ | ✓ | x – unless change | ✓ | ✓ |
| **Occupation Code** | ✓ | x | ✓ | x – unless change | ✓ | ✓ |
| **Position Title** | ✓ | x | ✓ | x – unless change | ✓ | ✓ |
| **Employment History**    Including:   * job titles * organisation/ departments • dates and role descriptions * gaps in employment | ✓ | x | ✓ | x | ✓ | ✓ | Application and recruitment process, CV, etc. | Any gaps that are because of any protected characteristics, as defined in the Equality Act 2010, do not need to be explained.  The period for which information should be recorded is for local determination, taking into account relevance to the person and the role.  It is suggested that a career history of no less than six years and covering at least two roles would be the minimum. Where there have been gaps in employment, this period should be extended accordingly. |

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| **Training and**  **Development** | ✓ | ✓ | ✓ | ✓ | ✓ | \* | 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. | \* NED recruitment often refers to a particular skillset/experience preferred, eg clinical, financial, etc, but a general appointment letter for NEDs may not then reference the skills/experience requested. Some NEDs may be retired and do not have a current professional registration.  At recruitment, organisations should assure themselves that the information provided by the applicant is correct and reasonable for the requirements of the role.  For all board members: the period for which qualifications and training should look back and be recorded is for local determination, taking into account relevance to the person and the role.  It is suggested that key qualifications required for the role and noted in the person specification (eg professional qualifications) and dates are recorded however far back that may be.  Otherwise, it is suggested that a history of no less than six years should be the minimum. Where there have been gaps in employment, this period should be extended accordingly. |
| **References**  Available references from previous employers | ✓ | ✓ | ✓ | x | ✓ | ✓ | Recruitment process | Including references where the individual resigned or retired from a previous role |
| **Last Appraisal and Date** | ✓ | ✓ | ✓ | ✓ | ✓ | \* | Recruitment process and annual update following appraisal | \* For NEDs, information about appraisals is only required from their appointment date forward. No information about appraisals in previous roles is required. |

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| **Disciplinary Findings**  That is, any upheld finding pursuant to any NHS organisation policies or procedures concerning employee behaviour, such as misconduct or mismanagement | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | Reference request (question on the new Board Member Reference).  ESR record (high level)/ local case management system as appropriate. | The new BMR includes a request for information relating to investigations into disciplinary matters/ complaints/ grievances and speak-ups against the board member. This includes information in relation to open/ ongoing investigations, upheld findings and discontinued investigations that are relevant to FPPT.  This question is applicable to board members recruited both from inside and outside the NHS. |
| **Grievance** against the board member | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| **Whistleblowing** claim(s) against the board member | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| **Behaviour** not in accordance with |  |  |  |  |  |  |
| organisational values and behaviours or related local policies | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |  |  |
| **Type of DBS Disclosed** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ESR and DBS response. | Frequency and level of DBS in accordance with local policy for board members. Check annually whether the DBS needs to be reapplied for.  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 |  |
| **Date of Medical Clearance\*** (including confirmation of OHA) | ✓ | x | ✓ | x – unless change | ✓ | ✓ | Local arrangements |  |
| **Date of Professional Register Check** (eg membership of professional bodies) | ✓ | x | ✓ | ✓ | ✓ | x | Eg NMC, GMC, accountancy bodies. |  |
| **Settlement Agreements** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | Board member reference at recruitment and any other information that comes to light on an ongoing basis. | Chair guidance describes this in more detail. It is acknowledged that details may not be known/disclosed where there are confidentiality clauses. |

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| **Insolvency Check** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | [Bankruptcy and Insolvency register](https://www.gov.uk/search-bankruptcy-insolvency-register) | Keep a screenshot of check as local evidence of check completed. |
| **Disqualified Directors Register Check** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | [Companies House](https://www.gov.uk/government/organisations/companies-house) |
| **Disqualification from being a Charity Trustee**  **Check** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | [Charities Commission](https://www.gov.uk/government/organisations/charity-commission) |
| **Employment Tribunal Judgement Check** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | [Employment Tribunal](https://www.gov.uk/employment-tribunal-decisions)  [Decisions](https://www.gov.uk/employment-tribunal-decisions) |
| **Social Media Check** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | Various – Google, Facebook, Instagram, etc. |
| **Self-Attestation Form Signed** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | Template self-attestation form | Appendix 3 in Framework |
| **Sign-off by Chair/CEO** | ✓ | x | ✓ | ✓ | ✓ | ✓ | ESR | Includes free text to conclude in ESR fit and proper or not. Any mitigations should be evidence locally. |
| **Other Templates to be Completed** | | | | | | | | |
| **Board Member**  **Reference** | ✓ | ✓ | x | x | ✓ | ✓ | Template BMR | To be completed when any board member leaves for whatever reason and retained career-long or 75th birthday whichever latest.  Appendix 2 in Framework. |
| **Letter of Confirmation** | x | ✓ | ✓ | ✓ | ✓ | ✓ | Template | For joint appointments only - Appendix 4 in Framework. |
| **Annual Submission Form** | x | ✓ | ✓ | ✓ | ✓ | ✓ | Template | Annual summary to Regional Director - Appendix 5 in Framework. |
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| **Privacy Notice** | x | ✓ | x | x | ✓ | ✓ | Template | Board members should be made aware of the proposed use of their data for FPPT – Example in Appendix 6. |