



*Structured staffing. **PATIENT-CENTERED CARE.** A safer system*

CANDIDATE COMPLIANCE ASSESSMENT FORM

SECTION A – PRE-EMPLOYMENT CHECKS

- ☐ Proof of Right to Work in the UK verified (passport/visa/immigration status)
- ☐ Identity verification completed (photo ID + proof of address)
- ☐ DBS clearance obtained and filed
- ☐ References checked and documented

COMPLIANCE OFFICER NOTES:

SECTION B – PROFESSIONAL REGISTRATION (CLINICAL ROLES ONLY)

- ☐ GMC registration (Doctors)
- ☐ NMC registration (Nurses/Midwives)
- ☐ GDC registration (Dentists)
- ☐ HCPC registration (Allied Health Professionals)
- ☐ Registration number validated and fitness-to-practise confirmed

COMPLIANCE OFFICER NOTES:

SECTION C – MANDATORY TRAINING & COMPETENCY

- ☐ CSTF-aligned certificates (safeguarding, infection control, fire safety, equality & diversity, resuscitation)
- ☐ Induction training completed
- ☐ Role-specific training certificates provided
- ☐ Ongoing development/appraisal records filed

COMPLIANCE OFFICER NOTES:

*Structured staffing. **PATIENT-CENTERED CARE.** A safer system*

SECTION D – EMPLOYMENT DOCUMENTATION

- ☐ Signed contract of employment filed
- ☐ Payroll details verified (NI number, bank account, tax code)
- ☐ Pension auto-enrolment opt-in/opt-out form completed

COMPLIANCE OFFICER NOTES:

SECTION E – POLICIES & GOVERNANCE

- ☐ Safeguarding policy acknowledged
- ☐ Grievance procedure acknowledged
- ☐ Equality & diversity policy acknowledged
- ☐ Confidentiality & GDPR policy acknowledged
- ☐ Health & safety agreement signed (including working time regulations/rest breaks)

COMPLIANCE OFFICER NOTES:

SECTION F – RECORD KEEPING & AUDIT PREPARATION

- ☐ Right to work evidence stored
- ☐ Training logs updated
- ☐ Registration renewal dates recorded
- ☐ Absence monitoring records maintained
- ☐ Medical history and fitness-to-work declaration filed
- ☐ Evidence prepared for CQC/Home Office audits

COMPLIANCE OFFICER NOTES:

SECTION G – FINAL COMPLIANCE ASSESSMENT

Candidate has met all recruitment compliance requirements:

- ☐ Yes
- ☐ No (list outstanding items below)

OUTSTANDING ITEMS:

COMPLIANCE OFFICER SIGNATURE: _____

DATE: _____

CANDIDATE SIGNATURE: _____

DATE: _____