

# Research in the NHS

## HR Good Practice Resource Pack

To be read in conjunction with:  
HR Good Practice: information for researchers, R&D and  
HR staff in Higher Education Institutions and the NHS

## What is the Research Passport System?

The Research Passport System provides a mechanism for Higher Education (HE) employers to share pre-engagement information about a researcher with relevant NHS organisations in which that researcher will be conducting their research activity. The Research Passport System provides:

- clear guidance on the relevant checks required;
- a robust process for HE employers to document and evidence the checks which have been undertaken; and
- clear principles that enable NHS organisations to have a record of and rely on those checks for the duration of the Research Passport.

A Research Passport may be valid for the duration of a research project or for a maximum of three years. Once the checks have been completed and a valid Research Passport has been issued, the checks may be relied upon for the duration of the Research Passport.

## What are the benefits of the Research Passport?

- One set of checks is undertaken on a researcher conducting research in the NHS
- One standard form is completed for each researcher
- The form is completed by the researcher and her/his employer, and validated by an NHS organisation
- The completed and validated Research Passport is presented to all the relevant NHS organisations
- No duplication of checks
- Faster study start-up

## Who does not need a Research Passport?

Researchers will not need a Research Passport or an honorary research contract if:

- they are employed by an NHS organisation; or
- they are an independent contractor (e.g. GP) or employed by an independent contractor; or
- they have an honorary clinical contract with the NHS (e.g. clinical academics); or
- they are a student undertaking an education course for which there is a healthcare placement agreement already in place with the NHS organisation which is also hosting the student's research activity; or
- they are a student who will be supervised within clinical settings by an NHS employee or HE staff member with an honorary clinical or research contract; or
- the research they are doing does not require any checks or honorary research contract.

For information on the arrangements for researchers in the above categories, please read other sections of the HR Good Practice Resource Pack: the [Research Passport and the Vetting and Barring Scheme \(VBS\)](#) and the associated [Frequently Asked Questions](#) document.

## Who needs a Research Passport?

Researchers who are not in any of the above categories and who have no contractual relationship with the NHS, may need a Research Passport. Not all types of research activity require a Research Passport. The [algorithm of research activity and pre-engagement checks](#) provides guidance on the pre-engagement checks that should be carried out in particular research situations, and whether or not an honorary research contract is required. Please note that not all researchers involved in a particular project will be conducting the same research activities and so there may be different requirements for different members of a research team.

# Important information about the Research Passport

Before a researcher can be considered for appointment in a position of trust within the NHS, each NHS organisation needs to be satisfied about their character and suitability.

The law requires the NHS to promote equality of opportunities and to treat all applicants for positions fairly and on merit regardless of age, disability, gender, race, ethnic origin, nationality, religion, belief, or sexual orientation. The NHS shall not discriminate unfairly against applicants on the basis of any criminal conviction or other information declared.

Prior to making a final decision concerning an application, each NHS organisation should discuss with the researcher any information declared by them that it believes has a bearing on their suitability for the position. If any information is not raised with the researcher, this is because the NHS organisation believes that it should not be taken into account. In that event, researchers remain free to discuss any of that information or any other matter that they wish to raise. As part of assessing an application, the NHS organisation will take into account any relevant criminal record and other information declared.

In accordance with the Data Protection Act 2018, researchers are advised that their personal data will be processed by each NHS organisation to which they submit the Research Passport. In completing and submitting the Research Passport researchers give their consent to personal data about themselves being shared and processed. Data processing includes: holding, obtaining, recording, using, sharing and deleting information. The Data Protection Act 2018 defines 'sensitive personal data' as including ethnic origin, physical or mental health, information about alleged offences or convictions, and any proceedings for any offence committed or alleged to have been committed.

The information that researchers provide in the Research Passport will be processed in accordance with the Data Protection Act 2018 and may also be used for the purpose of determining their suitability for this position. It may also be used for the purpose of enquiries in relation to the prevention and detection of fraud. Once a decision has been made concerning the researcher's appointment, for successful applicants the Research Passport will be retained on their personal file; if unsuccessful, the Research Passport will be destroyed one month after receipt of the application. The Research Passport form will be kept securely and in confidence, and access to it will be restricted to designated persons within the NHS organisation who are authorised to view it as a necessary part of their work.

While conducting research in the organisation, all researchers should comply with the NHS organisation's policies relating to safety and confidentiality. These may include the following:

- incident reporting
- research governance
- misconduct and fraud
- data storage and handling.

## How do researchers get a Research Passport?

- Read the attached guidance for completing the Research Passport form.
- Complete the Research Passport form:
  - sections 1-3 of the Research Passport form are completed by the researcher
  - the researcher's line manager (or other authorised person) completes section 4
  - the researcher's human resources (HR) department completes section 5:
    - the researcher may need to complete occupational health assessments, and/or a criminal record disclosure application, and/or provide additional documents
    - the researcher's HR department will ensure that the appropriate occupational health actions are taken and, if required, a report on occupational health status (commensurate with the research activity) is issued
    - the researcher's HR department will apply for and provide the relevant details of the criminal record disclosure and Independent Safeguarding Authority (ISA) checks, commensurate with the research activity as outlined on the Research Passport form
    - the researcher's HR department will complete all the relevant pre-engagement checks, sign off the form accordingly, and return it to the researcher.
- The completed Research Passport form with required attachments (e.g. CV, evidence of occupational health clearance, researcher's own copy of the criminal record disclosure) should be taken to the lead NHS organisation.
- Once the form has been authorised by one NHS organisation it becomes a valid Research Passport that can be provided to other NHS organisations.
- If the researcher is a student, the Registry (or equivalent department that deals with student admissions) should complete the form, not the HR department.

**The Principal Investigator must apply for permission to conduct the research in the NHS organisation. The Research Passport does not remove the need to apply to the NHS organisation for permission or to apply for ethical review.**

## Section 1 - Details of Researcher

To be completed by Researcher

SECTION 1

Please use this section to provide details of your identity and your employer (or place of study if you are a student).

**Question 1.** Enter your name and contact details.

**Question 2.** Enter Date of Birth . This information may be used to complete the Electronic Staff Record (NHS Human Resources (HR) system).

**Question 3.** Enter details of any registration with a professional body.

**Question 4.** Enter details of your substantive employer. For students, place of study should be given. Enter your job title or type of study (e.g. undergraduate).

NB: NHS organisations MUST be informed of any changes in employment.

Section 1 - Details of Researcher To be completed by Researcher	
1.	Surname: <u>Bloggs</u> Prof <input type="checkbox"/> Dr <input checked="" type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Forename(s): <u>Joe</u> Miss <input type="checkbox"/> Ms <input type="checkbox"/> Other <input type="checkbox"/> Contact Tel: <u>0123456789</u> Contact Email: <u>joe.bloggs@uni.ac.uk</u>
2.	Date of birth: <u>10/10/1974</u>
3.	Professional registration details, if applicable (Doctors undertaking any form of medical practice should confirm they have a licence to practise). N/A <input type="checkbox"/> <u>GMC 1234567</u>
4.	Employer: <u>University of <del>Hampford</del></u> or place of study: <u></u> Work Address/Place of Study: <u>University of Hampford, Room 18, Block A, Petal Road, Hampford, C12 2BX</u> Post or status held: <u>Clinical Research Fellow</u>

Enter your job title or type of study (e.g. undergraduate).

If you are registered with a professional body please provide details of the professional body and your registration number.

The Research Passport form (Version 2) is available at [www.nihr.ac.uk/systems/pages/systems\\_research\\_passports.aspx](http://www.nihr.ac.uk/systems/pages/systems_research_passports.aspx)

## Section 2 - Details of Research

To be completed by Researcher

**Question 5.** Enter the type of Research Passport you require. Research Passports are valid for a maximum of 3-years. If you only intend to be involved with 1 project over this period select “project-specific”. If you plan to work over a number of studies in this period select “multi-project”.

For “project-specific” applications provide the title, and the start and end dates of the project. The start date should be when you plan to be involved in the study at the first site, and the end date should be when you plan to complete your involvement in the study at the last site.

For a “multi-project” Research Passport please provide the start date for your involvement in your first study at the first site. The end date should be three years later.

List the NHS organisation(s) and department(s) where you will be working. Continue on an appendix sheet if necessary.

Describe very briefly what activities you will be undertaking, e.g. prescribing medicine, taking blood, conducting behavioural therapy etc.

If you know who will manage or supervise you or be responsible for your conduct in the NHS organisation please insert her/his name.

You can continue on an appendix sheet if necessary.

## SECTION 2

### Section 2 - Details of Research

To be completed by Researcher

5.	What type of Research Passport do you need? Project-specific <input checked="" type="checkbox"/> Multi-project <input type="checkbox"/>		
	If you will be conducting only one project please complete the details below. If you anticipate that you will be undertaking more than one project at any one time, please give details in the Appendix.		
	Project Title: <i>CLINICAL TRIAL OF DRUG A FOR CONDITION B</i>		
	Project Timetable: Start Date: <i>03/04/2010</i>		End Date: <i>03/04/2012</i>
	Proposed start and end date of three-year Research Passport: Start Date: <input type="text"/> End Date: <input type="text"/>		
	NHS organisation(s):	Dept(s):	Proposed research activities:
	<i>HAMPFORD NHS TRUST</i>	<i>NEUROLOGY OUT-PATIENTS</i>	<i>CONSENT, PRESCRIBING, CLINICAL ASSESSMENT AE</i>
			Manager in NHS organisation:
			<i>DR T FIELDS</i>

# Passport Appendix - List of projects and amendments

To be completed by Researcher

For “multi-project” Research Passports provide details of each project as a separate appendix. Indicate the number of the appendix.

Provide the title, and the start and end dates of the project. The start date should be when you plan to be involved in the study at the first site, and the end date should be when you plan to complete your involvement in the study at the last site.

## Passport Appendix. List of projects and amendments

Appendix Number:

If you are applying for a three-year Research Passport, please use this section to enter details of projects and activities that will be covered by this Research Passport. Once you have a validated Research Passport, you may add details of subsequent projects during the three years that this Research Passport is valid.

If you are applying for a project-specific Research Passport, but need to add further sites to the project, please enter the details below.

Whenever you add further details, the full Research Passport and accompanying documents must be submitted to the relevant NHS organisations.

Enter the title and start and end dates.

Title: <i>CLINICAL TRIAL OF NEW DEVICE FOR EXISTING CONDITION</i>		Start Date: <i>08 / 05 / 2010</i>	End Date: <i>08 / 05 / 2010</i>
NHS organisation(s): <i>FORDHAM NHS TRUST</i>	Dept(s): <i>CARDIOLOGY</i>	Proposed research activities: <i>CONSENT, PRESCRIBING, ECG TESTS</i>	Manager in NHS organisation: <i>DR B BLDQSS</i>
<i>NHS TRUST NAME 2</i>	<i>CARDIOLOGY OUT-PATIENTS</i>	<i>CONSENT, PRESCRIBING, ECG TESTS</i>	<i>DR B BLDQSS</i>

List the NHS organisation(s) and department(s) where you will be working. Continue on an appendix sheet if necessary.

Describe very briefly the activities that you will be undertaking, e.g. prescribing medicine, taking blood, conducting behavioural therapy etc.

If you know who will manage or supervise you or be responsible for your conduct in the NHS organisation e.g. the Principal Investigator, please insert her/his name.



## Section 3 - Declaration by Researcher

To be completed by Researcher

**Question 6.** Please tell us if you have ever been refused an honorary research contract or had it revoked by an NHS organisation, and the reasons for it. Disclosing this information does not necessarily mean that you will be turned down in your application for an honorary research contract or letter of access this time, but it could be that particular training needs have to be addressed by your substantive employer.

Section 3 – Declaration by <u>Researcher</u> To be completed by Researcher		
6.	Have you ever been refused an honorary research contract?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	Have you ever had an honorary research contract revoked?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	If yes to either question, please give details: <input type="text"/>	
<b>I understand that my data will be used for the purposes described in <a href="#">section 6 of the Information for researchers, R&amp;D and HR staff in Higher Education Institutions and the NHS guidance document</a>. I warrant that the information provided as part of this Research Passport application and the attached documents are a true and accurate reflection.</b>		
Signed: <i>Joe Bloggs</i>		Date: <i>04/04/2019</i>

The Research Passport system relies on information you provide in the Research Passport form being shared with relevant NHS organisations, and the declaration links to the transparency notice for the use of the data that you provide. The transparency notice details the purpose for the use of your data, and your rights. You need to confirm that you understand how the data you provide will be used, and that the information is accurate.

## Section 4 - Suitability of Researcher

To be completed by Researcher's substantive employer, e.g. line manager or academic supervisor

**Question 7.** This section should be completed by an appropriate manager from your employing organisation who is responsible for ensuring that you are suitably trained, qualified and experienced to carry out the research. It could be your line manager or head of department. For students, your academic supervisor should complete this section.

Employers should agree internal policies for appropriate signatories for Section 4. Confirming suitability does not place individual liability on the signatory. The action of confirming suitability forms part of the core responsibilities of employers and academic institutions.

Your manager, in conjunction with your HR department, will need to indicate whether your research activity will involve *regulated activity* as defined by the Safeguarding Vulnerable Groups Act 2006. The algorithm of research activity and pre-engagement checks can be used as a guide however full definitions of regulated and controlled activity are available in the Research Passport and Vetting and Barring Scheme Guidance, and also in the Vetting and Barring Scheme Guidance published by HM Government available at <http://www.isa-gov.org.uk/default.aspx?page=0>

Training should be commensurate with the nature of the research study and the research environment. Your manager should consult the Principal Investigator or Chief Investigator for the study and then make an assessment of your training needs in relation to Good Clinical Practice, data protection, use of equipment etc.

### Section 4 - Suitability of Researcher

To be completed by researcher's substantive employer, e.g. line manager, or academic supervisor

7.a	Will this person's research activity mean that they may be undertaking regulated activity (please use the Research Passport algorithm to make this judgement)	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
7.b	I am satisfied that the above named individual is suitably trained and experienced to undertake the duties associated with the research activities outlined in this Research Passport form.	
	Signed: <i>B.SUPERVISOR</i>	Date: <i>10 / 12 / 2009</i>
	Name: <i>PROFESSOR B SUPERVISOR</i>	Job Title: <i>READER IN CLINICAL STUDIES</i>
	Department and Organisation: <i>DEPARTMENT OF CLINICAL STUDIES, NIVERSITY OF HAMPFORD</i>	Managerial responsibility for the applicant: <i>LINE MANAGER</i>
	Address: <i>UNIVERSITY OF HAMPFORD, ROOM 28, BLOCK A PETAL ROAD, HAMPFORD, G12 2 BX</i>	
	Tel No: <i>0123 456 7899</i>	
	Email: <i>B.SUPERVISOR@HAMPFORD.AC.UK</i>	

# SECTION 5

## Section 5 - Pre-engagement checks

To be completed by the HR department of the researcher's substantive employer or registry at place of study

**Section 5 - Pre-engagement checks**  
 To be completed by the HR department of the researcher's substantive employer or registry at place of study

8. Does this individual's research involve Regulated Activity:  Yes  No

**For Regulated Activity:**  
**To be completed for Research Passport applications supported by enhanced CRB disclosures certificates issued between 12th October 2009 and 25th July 2010 only**  
 If yes to the above, has the individual been checked against ISA barred lists for vulnerable adults and / or children, as appropriate and have you received confirmation via the CRB disclosure that the person is not barred from working with children or vulnerable adults?  
 (NB individuals who are barred from working with children or vulnerable adults must not undertake a regulated activity within the NHS, and you must not submit a Research Passport form in such cases)

Checked against ISA Vulnerable Adults List?  
 Yes  No  N/A

Checked against ISA Children's List?  
 Yes  No  N/A

**For Regulated Activity:**  
**To be completed for Research Passport applications supported by CRB disclosures certificates issued after 26th July 2010 only**  
 If yes to the above, can you confirm that you have registered the individual with the ISA as their employer / place of study, and that you will continue to monitor the registration status of this individual and withdraw them immediately from any regulated activity should their registration status change.  
**NB ISA registration is mandatory from November 2010 for researchers undertaking regulated activity**

ISA Registered for Vulnerable Adults?  
 Yes  No  N/A

ISA Registered for Children?  
 Yes  No  N/A

Can you confirm that a clear criminal record disclosure has been obtained for the above-named individual, with no subsequent reports from the individual of changes to this record?  
 NB for Regulated Activity this must be an enhanced CRB. For non-regulated activity, ensure the CRB is at the mandated level.

Yes  No  N/A

If yes, please provide details of the clear disclosure

Date of disclosure: 15 / 12 / 2009

Type of disclosure: ENHANCED

Organisation that requested disclosure: UNIVERSITY OF HAMPFORD

CRB Disclosure Reference No. 1234567

Researcher's ISA Unique ID: NOT APPLICABLE

**Question 8.** Your employer/place of study should assess whether your research activity is eligible for a criminal record disclosure and at what level. If this is the case they will need to confirm that you have a criminal record disclosure at the appropriate level with no convictions or police information listed. Your employer/place of study should also assess whether your research involves a regulated activity and a check against the appropriate barred lists.

Please refer to page 18 for further guidance.

Your employer/place of study must indicate whether your research activity will involve regulated activity as defined by the Safeguarding Vulnerable Groups Act 2006.

From 12 October 2009, all new applications involving regulated activity, will need to be checked against the relevant ISA list(s) through an enhanced CRB disclosure.

If a check against the barred lists is not needed tick "N/A".

Tick here if ISA registration has been completed. This is compulsory for new applications involving regulated activity from November 2010. ISA registration is not required for those not undertaking regulated activity.

Your employer/place of study must indicate whether you have had a clear CRB disclosure at the appropriate level. If a disclosure is not required select "N/A" and do not complete the section below on date, type and disclosure reference. If a disclosure is mandated but is not clear select "No" and leave the details of the disclosure section blank. NHS organisations may then need to initiate discussion with the researcher, in order to decide whether to initiate their own CRB disclosure.

Your employer/place of study should enter details of the disclosure namely date, type (i.e. enhanced or standard), the organisation that requested the disclosure, the disclosure reference number and from 26 July 2010 onwards your ISA number. From November 2010, ISA registration is compulsory for new starters in regulated activity. Where researchers have gained a basic disclosure they should complete details of the date, type and reference number.

## SECTION 5

9. Have the pre-engagement checks described below been carried out with regard to the above-named individual?

<ul style="list-style-type: none"> <li>▪ Employment/student screening:             <ul style="list-style-type: none"> <li>○ ID with photograph</li> <li>○ two references</li> <li>○ verification of permission to work/study in the UK</li> <li>○ exploration of any gaps in employment</li> </ul> </li> </ul>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
▪ Evidence of current professional registration	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
▪ Evidence of qualifications	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
▪ Occupational health screening / clearance	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Is the named individual on a fixed term contract or is the contract end imminent?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Please indicate current contract end-date	Date: 31 / 07 / 2014
Signed: <i>Mrs H.R. Manager</i>	Date: 21 / 10 / 2009
Name: <i>HELEN R. MANAGER</i>	Job Title: <i>HR MANAGER</i>
Organisation: <i>UNIVERSITY OF HAMPFORD</i>	Department: <i>HUMAN RESOURCES</i>
Address: <i>UNIVERSITY OF HAMPFORD, HUMAN RESOURCES, ROOM 212, BLOCK D, PETAL ROAD, HAMPFORD, G12 2 BX</i>	
Tel No: <i>0123 456 789 EXT 1234</i>	Email: <i>H.MANAGER@HAMPFORD.AC.UK</i>

## Section 5 - Pre-engagement checks

To be completed by the HR department of the researcher's substantive employer or registry at place of study

**Question 9.** Your employer/place of study must confirm that it has completed checks with regard to identity, professional registration status and certificates of qualifications prior to employing/admitting you. It must also verify that you have had occupational health screening and are fit to carry out the research activities you plan to undertake. Your employer or, where appropriate, your place of study should tick the relevant boxes as evidence that the following checks have been completed:

- employment screening:
  - ID with a photograph
  - two references
  - verification of permission to work/study in the UK
  - exploration of gaps in employment
- evidence of qualifications.
- evidence of professional registration
- occupational health screening.

Please refer to pages 19-20 for further guidance.

Employers must tick these boxes to provide evidence of the specified pre-engagement checks. Checks must be performed to standards described in the Research in the NHS: HR Good Practice Resource Pack, which meet the requirements of NHS Employers.

Employers must provide the contract end dates for any employees whose contract end-date falls BEFORE the end of a three year passport.

For applications from staff, section 5 must be signed by a designated person within the HR department. For student applications, this section should be signed by a designated person from the academic registry.

## Section 6 - Instructions to applicants

To be completed by the researcher

You are now ready to complete your Research Passport application. Indicate here which documents you have attached. If you do not require a criminal record disclosure or occupational health screening for the research activities you will be conducting, you should tick "N/A". If you have completed any Appendices, please give the numbers, otherwise tick "N/A".

## SECTION 6

If your criminal record disclosure was issued before 26 July 2010 and includes a check against the relevant barred list(s) you should indicate this here. If a check against the barred lists is not required for research activity tick "N/A".

ISA registration becomes possible from 26 July 2010 and is mandatory from November 2010 for all new applications involving regulated activity. ISA registration can be obtained via the Criminal Records Bureau either on its own or as part of an enhanced level criminal record disclosure.

Section 6 - Instructions to applicants	
To be completed by Researcher	
Please indicate which of the following documents are attached to this Research Passport:	
Current curriculum vitae, including details of qualifications, training and professional registration (please use the template C.V. at <a href="http://www.rdforum.nhs.uk/docs/template_cv.doc">http://www.rdforum.nhs.uk/docs/template_cv.doc</a> )	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Researcher's copy of criminal record disclosure:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Disclosures issued before 26th July 2010 only: Criminal record disclosure includes confirmation of check against the appropriate Barred List(s)	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Disclosures issued after 26th July 2010 only: Criminal record disclosure confirms appropriate ISA registration. NB where appropriate, ISA registration is mandatory after November 2010.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
Evidence of occupational health screening / clearance	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Appendix:	Appendix numbers: 1
	N/A <input type="checkbox"/>

Don't forget to include details of any appendices, if applicable.

Your completed Research Passport, including original copies of required attachments (i.e. CV, researcher's copy of the criminal record disclosure and evidence of occupational health clearance), should now be forwarded to the lead NHS organisation for validation. Contact details for the Research Passport Lead at each NHS organisation in England are available at CLRN level from [www.crncc.nihr.ac.uk/index/networks/comprehensive/clrns](http://www.crncc.nihr.ac.uk/index/networks/comprehensive/clrns)

## Section 7

To be completed by HR in the Lead NHS Organisation

In some situations it may be necessary to undergo additional occupational checks for a particular research activity (e.g. where specific vaccinations are required, or a discussion with the applicant is necessary).

The R&D office will let you know if you need to have additional checks. Please add the written evidence of these checks to the attachments to your Research Passport.

### Section 7

**This section should be completed by HR in the Lead NHS organisation, only if additional checks are undertaken**

The following additional checks have been completed:

- *Varicella vaccination*

Having confirmed that the necessary additional pre-engagement checks have been completed, I am satisfied that the above named researcher is suitable to carry out the duties associated with their research activity outlined in this Research Passport.

Signed: *N. OFFICER*

Date: *05/01/2010*

Name: *N. OFFICER*

Job Title: *HUMAN RESOURCES OFFICER*

Organisation: *HAMPFORD NHS TRUST*

Department: *HUMAN RESOURCES*

Email: *N.OFFICER@HAMPFORD.NHS.UK*

Details of any additional screening should be given here.

## Section 8 - For office use only

To be completed by the Lead NHS Site

NHS organisations should consider the type and/or degree of pre-engagement checks that are required, ensuring that these are commensurate with the role of the researcher, the type of research and the duty of care. With regard to research involving regulated activity as defined by the Safeguarding Vulnerable Groups Act 2006, NHS organisations should refer to the Research Passport Vetting and Barring Scheme Guidance for information on checking requirements.

Where a researcher is not able to provide evidence of appropriate checks in the Research Passport form, the decision whether or not to issue an honorary research contract or letter of access should take account of the above factors and be made following discussion with the applicant and her/his employer. NHS Employers ([www.nhsemployers.org](http://www.nhsemployers.org)) and the UK Health Departments offer further guidance and advice on issues relating to those working within the NHS as employees, honorary staff, contractors, students or volunteers.

NHS organisations should take a photocopy of the completed form and attachments to provide an auditable system for their records. Please note that in accordance with the Criminal Records Bureau's guidance, photocopies of criminal record disclosures should not be retained.

**For applications submitted after 26 July 2010 only.** Where a position is **regulated activity** and subject to ISA registration, NHS host sites should indicate whether the Research Passport includes written confirmation from the substantive employer that the individual has been registered with ISA (see row 3, question 8, section 5). **This is mandatory for all new applications from November 2010.**

## SECTION 8

Section 8 - For Office Use Only			
<i>This section should be completed by the NHS R&amp;D office that received the initial application. The NHS R&amp;D office must countersign and date retained photocopies of the documents. The grey section must be completed before returning the form to the applicant.</i>			
CV reviewed?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Training?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Evidence of qualifications?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Appendix pages reviewed?	Numbers: 1
Professional registration details reviewed?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Occupational health clearance reviewed?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Criminal record disclosure reviewed?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Date of disclosure: 15/12/2009	CRB Disclosure Certificate no: 1234567
For Research Passport applications submitted after 26th July 2010 only: Confirmation that HEI have subscribed their interest in this individual via the ISA on-line monitoring service, (where appropriate) and have agreed to withdraw the individual immediately, should the individual's ISA registration status change <b>NB ISA registration, where appropriate, is mandatory from November 2010</b>			Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
Enter Electronic Staff Record Number (if issued): 12374			
Confirmation of valid Research Passport: Project specific <input checked="" type="checkbox"/> Three-year <input type="checkbox"/> Other End date <input type="checkbox"/>			
Signed:	<i>RQ Officer</i>	Date: 12/01/2010	
Name:	<i>ROBERT OFFICER</i>		
NHS organisation name and contact details	<i>HAMPFORD NHS TRUST, R&amp;D OFFICE, 817 9AQ POSITION: RESEARCH GOVERNANCE MANAGER TEL: 0123 654 7897 (EXT 4321) EMAIL: RO.OFFICER@HAMPFORD.NHS.UK</i>		
Date honorary research contract/letter of access issued (delete as appropriate)			<i>14/01/2010</i>

Contact details for the individual that has validated the Research Passport form should be provided.

## Section 8 - For office use only

To be completed by the subsequent NHS Site

## SECTION 8

When the valid Research Passport is presented to other NHS organisations this section can be added to the Research Passport by each new NHS site.

Host sites should consider the type and/or degree of pre-engagement checks that are required, ensuring that these are commensurate with the role of the researcher, the type of research and the duty of care. With regard to research involving regulated activity as defined by the Safeguarding Vulnerable Groups Act 2006, NHS organisations should refer to the Research Passport Vetting and Barring Scheme Guidance for information on checking requirements.

Where a researcher is not able to provide evidence of appropriate checks in the Research Passport form, the decision whether or not to issue an honorary research contract or letter of access should take account of the above factors and be made following discussion with the applicant and her/his employer. NHS Employers ([www.nhsemployers.org](http://www.nhsemployers.org)) and the UK Health Departments offer further guidance and advice on issues relating to those working within the NHS as employees, honorary staff, contractors, students or volunteers.

Following a proportionate risk assessment, subsequent NHS organisations may elect to process the application on the basis of the validated Research Passport only without the requirement to review the original supporting documents. Please refer to the Research Passport [Frequently Asked Questions supplement](#) for further details.

*If required, this section should be added to the Research Passport Form and completed by each NHS R&D office receiving the valid Research Passport. The original Research Passport form and documents should be returned to the applicant.*

Has the Research Passport been validated by a Lead NHS organisation and is this validation acceptable to this NHS organisation?				Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
CV reviewed?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Training?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Evidence of qualifications?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Appendix pages reviewed?	Numbers: _____	
Professional Registration details reviewed?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/>	Occupational health clearance reviewed?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/>	
Criminal record disclosure reviewed?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/>	Date of disclosure:	CRB Disclosure Certificate No: _____	
For Research Passport applications submitted after 26th July 2010 only: Confirmation that HEI have registered their subscription to this individual onto ISA on-line registration service, (where appropriate) and have agreed to continuous monitoring of this individual's ISA registration status <b>NB ISA registration, where appropriate, is mandatory from November 2010</b>				Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
Checked Electronic Staff Record: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/>				
Signed:	<i>RQ Officer</i>		Date: <i>20 / 02 / 2010</i>	
Name:	<i>ROBERT OFFICER</i>			
NHS Organisation Name and contact details	<i>FORDHAM NHS TRUST, R&amp;D OFFICE, B21 9AZ POSITION: RESEARCH GOVERNANCE MANAGER TEL: 0123 7891 3654 (EXT1211) EMAIL: RD.OFFICER@FORDHAM.NHS.UK</i>			
Date Honorary Research Contract/letter of access issued (delete as appropriate)	<i>23 / 02 / 2010</i>			

Contact details for the individual that reviews the Research Passport should be provided.

Subsequent NHS sites may choose to accept the validation by the Lead NHS organisation without reviewing all of the original attachments.



## Amendments to the Research Passport

To be completed by the researcher and Lead NHS Site

You should inform all NHS organisations where you are conducting research of any change in details, e.g. employment status, registration status, criminal record etc. Any failure to do so may result in termination of your honorary research contract or letter of access. Additions and amendments to the Research Passport appendix should be countersigned by the Lead NHS organisation and then submitted to the R&D office of each NHS organisation hosting your research.

### Amendments to the Research Passport

Please state what these are, e.g. they might be a change in name or employment details, or a change in research activities.

Please check with the NHS organisation where you are undertaking your research if you are unsure whether you will need a new Research Passport.

Date	Old Details	New Details	Office use only NHS R&D contact details and signature
08 / 05 / 2010	PROJECT-SPECIFIC RESEARCH PASSPORT	MULTI-PROJECT RESEARCH PASSPORT AND ADDITIONAL STUDY DETAILS ADDED TO APPENDIX.	ROBERT OFFICER / R. Officer RESEARCH GOVERNANCE MANAGER HAMPFORD NHS TRUST TEL: 0123 654 7897 (EXT 4321) EMAIL: RD.OFFICER@HAMPFORD.NHS.UK

Describe the changes to the Research Passport.

Contact details for the individual at the Lead NHS organisation that reviews and approves the amendment should be included here.

## CRIMINAL RECORD CHECKS

The employer/place of study should assess whether the researcher's activity is eligible for a criminal record disclosure<sup>1</sup>. If this is the case they will need to confirm that the researcher has a criminal record disclosure at the appropriate level with no convictions or police information listed.

The employer/place of study will also need to indicate whether the researcher's activity will involve regulated activity as defined by the Safeguarding Vulnerable Groups Act 2006. If this is the case, as part of the disclosure request, the employer/place of study will need to confirm that the researcher has been checked, in line with the Vetting and Barring Scheme (VBS) phasing strategy, against the relevant ISA barred lists and (from 26 July 2010) had their ISA registration activated for working with the relevant group(s) and that their ISA registration will be subject to monitoring. Further guidance (including details of the VBS phasing strategy) is available in the Research Passport VBS Guidance.

Criminal record disclosures do not carry a period of validity. Employers/places of study are recommended to establish mechanisms (backed up by appropriate disciplinary arrangements) to require employees/students who have undergone a criminal record disclosure to declare any subsequent changes in their criminal record. For students, such requirements should be included in codes of conduct. Employers/places of study may wish to consider monitoring such arrangements (e.g. through spot checks).

Where researchers are completing a Research Passport form for the first time, the criminal record disclosure should normally have been obtained in the last six months. Alternatively, an appropriate criminal record disclosure obtained in the last year may be used, as long as the employer/place of study has a system for requiring researchers to declare any changes to their criminal record as described above. Details of the disclosure should be provided. In accordance with the Criminal Records Bureau's Code of Practice, the employer/place of study will not be asked to pass on any information in the researcher's criminal record disclosure. The researcher's original copy of the disclosure (not a photocopy) should be provided when they submit the Research Passport to the Lead NHS R&D office for validation.

If the researcher has not had a criminal record disclosure conducted in the appropriate time scale, they should arrange for a criminal record disclosure to be obtained through their employer/place of study. If any convictions or police information have been reported in the researcher's disclosure, the NHS organisation receiving the Research Passport may assess this (where the researcher is willing to share this information through providing their own copy of the criminal record disclosure), or may need to request their own criminal record disclosure. This is to ensure that the NHS organisation has relevant and up-to-date information on which to base decisions about issuing an honorary research contract.

Overseas staff/students should endeavour to have the necessary documents to show they do not have any previous convictions in their country of origin. The CRB overseas helpline can provide information on specific countries (0870 010 0450).

1. Criminal Record Bureau—Eligible Posts

[http://www.crb.homeoffice.gov.uk/guidance/rb\\_guidance/eligible\\_posts.aspx](http://www.crb.homeoffice.gov.uk/guidance/rb_guidance/eligible_posts.aspx)

Required Employment Checks		Completion Notes
1	Employment screening checks	Where HR confirms that these checks have already been conducted by the HE employer on an applicant, they normally do not need to be repeated.
1a	ID with a photograph	<p>It is recognised that confirmation of identity may not routinely be carried out by HE employer's in the same way as expected of NHS organisations. In completing this section of the Research Passport form, the HR department confirms that a check of identity has been completed, which includes determining that the individual's identity is genuine and relates to a real person, and establishing that the individual owns and is rightfully using that identity. In order to do this, the HR department will have reviewed:</p> <ul style="list-style-type: none"> <li>• a document containing the researcher's photograph, such as a passport or UK driving licence, and</li> <li>• a document providing the researcher's current address, such as a utility bill, a bank statement or the most recent council tax bill.</li> </ul> <p>In addition, where possible, electronic databases such as electoral roll information may be searched to verify identity. Where HR confirms that these checks have been conducted on an applicant, they do not need to be repeated.</p>
1b	Two references	HE employers routinely obtain two references and verification of permission to work/study in the UK as part of the recruitment process, these checks may be confirmed as having been conducted on an applicant, and do not need to be repeated. Likewise, the student admission process also ensures that this criteria is met.
1c	Verification of permission to work/study in the UK	
1d	Exploration of gaps in employment	It is recognised that exploration of gaps in employment may not routinely be carried out by HE employer's in the same way as expected of NHS organisations. HE employers are asked to check for gaps in employment/study of more than six months in the past three years. Where this has not been done previously, the HE employer should arrange for the applicant's CV to be checked.

*Table continues on next page*

Required Employment Checks		Completion Notes
2	Occupational health screening	<p>The employer's occupational health service should confirm, so far as is possible that the individual is fit for the research activities that s/he will be undertaking, in order to protect the health and safety of the researcher and others. Department of Health guidance<sup>1,2</sup>, sets out recommendations for occupational immunisations for various types of healthcare staff including:</p> <ul style="list-style-type: none"> <li>• staff involved in direct patient care (including those involved in exposure prone procedures)</li> <li>• non-clinical staff in healthcare settings</li> <li>• laboratory and pathology staff</li> <li>• staff handling specific organisms.</li> </ul> <p>Where vaccinations are required these should be identity validated. Employers may be able to use their local NHS Plus occupational health services to undertake health checks and clearance on their behalf (<a href="http://www.nhsplus.nhs.uk">http://www.nhsplus.nhs.uk</a>).</p>
3	Evidence of professional registration	Where professional registration is required, employers should confirm that registration is current with no relevant restrictions.
4	Evidence of qualifications	In completing this section, HE employers confirm that qualifications described in the applicant's CV have been checked against original certificates of qualification.

**Employers should familiarise themselves with guidance<sup>3,4</sup> on pre-employment screening for the NHS, in order to develop systems that comply with NHS requirements.**

1. Health clearance for tuberculosis, hepatitis B, hepatitis C and HIV: New healthcare workers, Department of Health.

[http://www.dh.gov.uk/prod\\_consum\\_dh/idcplg?IdcService=GET\\_FILE&dID=140873&Rendition=Web](http://www.dh.gov.uk/prod_consum_dh/idcplg?IdcService=GET_FILE&dID=140873&Rendition=Web)

2. Immunisation against infectious disease - "The Green Book", Department of Health.

[http://www.dh.gov.uk/en/Policyandguidance/Healthandsocialcaretopics/Greenbook/DH\\_4097254](http://www.dh.gov.uk/en/Policyandguidance/Healthandsocialcaretopics/Greenbook/DH_4097254)

3. NHS Employment Check Standards

<http://www.nhsemployers.org/RecruitmentAndRetention/Employment-checks/Employment-Check-Standards/Pages/Employment-Check-Standards.aspx>

4. A Good Practice Guide on Pre-employment Screening, Centre for the Protection of National Infrastructure

<http://www.cpni.gov.uk/Docs/Pre-employmentscreening.pdf>