

## Background Checking Policy

Document Owner: Head of HR

Version	Date	Reason for revision
1	November 2018	New Policy

All offers of permanent employment with Assetz Capital (the Company) are subject to the satisfactory completion of relevant background checks. Contractors, agency staff and temporary staff may also be subject to the same background checks.

The Company is committed to complying with its data protection obligations. This policy should be read in conjunction with the Privacy Policy and Disclosure Barring Services (DBS) Policy. Which can be found on the Company site or requested from the HR department at [HR@assetzcapital.co.uk](mailto:HR@assetzcapital.co.uk)

### Background Checking

The following checks will require completion:

- ✓ Eligibility to work in the UK
- ✓ Proof of current address
- ✓ Employment/educational check (last 3 years)
- ✓ Basic Disclosure and Barring Service check (DBS)
- ✓ DVLA check (where applicable)
- ✓ Credit check
- ✓ Major qualification check (if applicable to the role)
- ✓ Professional membership check (if applicable to the role)
- ✓ Directorship Search (if applicable to the role)
- ✓ FCA References and/or Register Search (if applicable to the role)

Certain checks will be completed by specialist and independent third-parties, for example, Disclosure Scotland and Lexis Nexis.

In addition, some of our roles will be subject to achieving a certain level of attainment for the above checks, for example a county court judgement or bankruptcy order may be unacceptable for certain roles and could result in an unsatisfactory check.

Where the Company has concerns over any information disclosed in a check, these concerns will be discussed with the applicant/employee before making any decisions.

The Company will take into account the relevance and seriousness of the information against the position applied for.

### Process

All offers of employment made by the Company make clear that the offer is subject to the satisfactory completion on a number of background checks. Similarly, contractors, agency staff and temporary staff will be made aware that their assignment is subject to the satisfactory completion of certain background checks.



The new applicant/employee will be sent a 'Background Screening' document that contains further details and instructions of the information that is required by the Company.

The background checking process should take 4 to 6 weeks to complete from receipt of the completed 'Background Screening' document. Failure to supply a fully completed 'Background Screening' document to the Company, in a timely manner, may result in an offer of employment being withdrawn.

Whilst new employees can commence employment with the Company before the background checks have been fully completed, this can only be done providing the checks do not conflict with any requirements of the role. The offer also remains subject to the satisfactory completion of the checks. In the rare occasion an employee who has commenced employment fails to satisfactorily complete their background checks their employment will be terminated.

An employee probationary periods will not be signed off as complete until the employee has satisfactorily passed their background checks.

### **Change in Circumstances**

Employees should inform their line manager or HR if their ongoing circumstances change in a way that could impact their role or ability to work on certain customer accounts. Failure to do so may result in disciplinary action.

### **Contacts**

If you have any questions or queries on this policy please contact the HR team on [HR@assetzcapital.co.uk](mailto:HR@assetzcapital.co.uk)