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1	*CLIENT'S* PERSONNEL SECURITY PROCEDURES
1.1	**Mandatory obligations**
1.1.1	The *Client* is required to adopt the personnel security requirements and management arrangements set down in Security Policy 3: Personnel Security of Her Majesty's Government (HMG) Security Policy Framework version 1.1 – May 2018 issued by the Cabinet Office as amended from time to time (the "Security Policy Framework").
1.1.2	The Security Policy Framework is available to be downloaded from the Cabinet Office website. The *Contractor* familiarises itself with the objectives and principles embodied within the Security Policy Framework, in addition to the mandatory obligations extracted from the Security Policy Framework and set down in this **Annex 04** of the Scope.
1.1.3	The *Contractor* ensures that the appropriate level of personnel security is obtained and maintained for all Staff in accordance with the Security Policy Framework.
1.1.4	The *Client* notifies the *Contractor* of any revisions to the personnel security requirements arising as a consequence of subsequent amendments to the Security Policy Framework and agrees any remedial action required by the *Contractor* as a result of the amendments.
1.1.5	In addition to the requirements set out in the Security Policy Framework, the Cabinet Office Efficiency and Reform Group has introduced security requirements in relation to site admittance, passes and photographs. These requirements are set out in Part Three of this Annex 4 below.
1.2	**Security checks – Minimum requirements**
1.2.1	The HMG Baseline Personnel Security Standard (BPSS) forms the minimum-security check requirements for all Staff whose duties include • working in any of the *Client's* premises, for example survey sites, offices, Regional Operation Centres (ROC), the National Traffic Operations Centre (NTOC) and any outstations owned and/ or operated by the *Client*; • usage of the *Client's* Information Systems or • working unsupervised in any other capacity.
1.2.2	The *Client* may notify the *Contractor* of a modification to the categories of Staff requiring BPSS security checks at any time.
1.2.3	The complete Government guidance document for the BPSS is available to be downloaded from the Cabinet Office website. The BPSS form and summary guidance produced by the *Client* is in section 5 below.

1.2.4	Procedural and other details for ensuring compliance with the BPSS are set down in Part One – BPSS Compliance below.
1.3	**Security checks – Additional vetting requirement**
1.3.1	Where Staff require unrestricted access to the *Client* areas identified in Part Two of this Annex 4, the *Client* notifies the *Contractor* of the appropriate level of National Security Vetting (NSV) to be carried out.
1.3.2	The *Client* notifies the Security Team via email that the applicant requires NSV to be carried out.
1.3.3	Procedural and other details for ensuring compliance with NSV are set down in Part Two - National Security Vetting (NSV) of this **Annex 04**.
2	**PART ONE – BPSS COMPLIANCE**
2.1	**Procedures**
2.1.1	The *Contractor* undertakes security checks to ensure the confidentiality, integrity and availability of the *Client's* asset (documents and information).
2.1.2	The recruitment controls of the BPSS are required to have been carried out for all Staff to whom paragraph 1.2.1 above applies prior to their employment on this contract. The recruitment control process is completed satisfactorily before an individual • is issued with a security pass giving unrestricted access to the *Client's* premises; • potentially has access to the *Client's* sensitive, possibly protectively-marked, information; and • is given access to the *Client's* IT network.
2.1.3	The *Contractor* takes all necessary measures to confirm that any previous security checks carried out on existing Staff meets the requirements of the BPSS, either in full or by exception using the risk management assessment process guidance contained in the Security Policy Framework.
2.1.4	The *Contractor* notes that, for existing Staff with more than 3 years continuous employment and who have not had any access passes or permits revoked in that time, the requirements for references in the BPSS security check can be deemed to be discharged by a letter from a Director or Head of Personnel of the *Contractor* certifying the same.
2.1.5	The *Contractor* rectifies any unacceptable gaps identified between the BPSS and existing security checking in accordance with the requirements of the BPSS.

2.1.6	Any new Staff to whom paragraph 1.2.1 above applies are assessed strictly in accordance with the requirements of the BPSS.
2.1.7	The *Contractor* keeps full and auditable records of all security checks carried out on Staff and makes such records available to the *Client* or its appointed representatives for audit purposes upon request.
2.1.8	If: • the *Client* discovers any non-compliance with the requirements of the BPSS from the audit process, • the *Contractor* fails to keep full records of security checks carried out on Staff or • the *Contractor* fails to make such records available on reasonable request The *Client* may • invoke individual withdrawal of permits or passes to Staff or • invoke systematic withdrawal of permit or passes to Staff • require that an independent audit of the *Contractor's* BPSS security check procedure is undertaken at the expense of the *Contractor* and • instruct the *Contractor* to take the appropriate action to immediately address any non-compliance with the BPSS notified to it by the *Client*.
2.1.9	The *Contractor* that the BPSS does not constitute a formal security clearance. It is designed to provide a level of assurance as to the trustworthiness, integrity and reliability of the individual involved.
2.2 Security check process for BPSS	
2.2.1	The security check process of the BPSS below follows the guidance provided in the HMG Baseline Personnel Security Standard May 2018.
2.2.2	The BPSS comprises verification of four main elements • Identity, • Nationality and immigration status (including an entitlement to undertake the work in question), • Employment history (past 3 years) and • Criminal record (unspent convictions only). Additionally, prospective Staff are required to give a reasonable account of any significant periods (6 months or more in the past 3 years) of time spent abroad.
2.2.3	The specific requirements for verification of each of the four main elements are set down in Part II - The Verification Process of the HMG Baseline Personnel Security Standard (BPSS). An outline description of the core requirements is included below

	but does not relieve the *Contractor* from its obligation to comply with all the requirements of the HMG BPSS.
2.2.4	Information collected at each stage of the process is reviewed, assessed and recorded by the *Client* in line with the forms contained in Appendix A • Verification Record, • Nationality and Immigration Status Form, • UK Home Office's Employer Checking Service, • Employment History Report Form, • Her Majesty's Revenue & Customs (HMRC) Record Check Form and • Criminal Record Declaration.
2.3	**Verification of identity – Outline requirements**
2.3.1	Identity may be verified by physically checking a range of appropriate documentation (for example, passport or national identification (ID) card together with a utility bill or bank statement) or by means of a commercially available identification verification service.
2.3.2	Only original documents should be used for identification purposes, copies are not appropriate. Electronic signatures should be verified by cross checking to a specimen signature provided by the individual.
2.3.3	There is no definitive list of identifying documents. The *Contractor* should note that not all documents listed in the BPSS are of equal value. The objective is to verify a document that is issued by a trustworthy and reliable source, is difficult to forge, has been dated and is current, contains the owner's name, photograph and signature and itself requires some evidence of identity before being issued (e.g. passport or ID card).
2.3.4	National Insurance Numbers (NINOs) can be obtained fraudulently and cannot be relied on as a sole means of establishing identity or right to work. Temporary numbers beginning with TN or ending in a letter from E to Z inclusive are not acceptable.
2.3.5	Where verification of identity is not straightforward, but a decision is nevertheless taken to employ an individual, the *Contractor* notifies the *Client* and records the matter on the Early Warning Register.
2.4	**Nationality and immigration status (including an entitlement to undertake the work in question) – Outline requirements**
2.4.1	Nationality and Immigration Status may be verified by physically checking appropriate documentation or, in exceptional circumstances only, by means of an independent check of UK Visas and Immigration records.

2.4.2	The *Contractor* takes the necessary steps to ensure that an individual has the right to remain in the United Kingdom and undertake the work in question.
2.4.3	Checks need to be applied consistently and the *Contractor* needs to be aware of its obligations under the Equality Act 2010.
2.5	**Employment history (past 3 years) – Outline requirements**
2.5.1	The *Contractor* verifies the individual's recent (minimum of 3 years) employment or education history, as applicable, by • following up references with previous employers, • verifying Her Majesty's Revenue and Customs (HMRC) tax returns or accountant certified company accounts for self-employment periods, • verifying academic certificates, • means of a commercially available CV checking service or • in exceptional circumstances or where there are unresolved gaps, by means of an independent check of HMRC records.
2.5.2	To ensure that prospective employees are not concealing associations or unexplained gaps, the *Contractor* carries out an investigation to address any doubts over the information provided before proceeding further with the BPSS requirements.
2.6	**Criminal record (unspent convictions only) – Outline requirements**
2.6.1	The *Contractor* should note that the requirement to verify "unspent" convictions does not apply when the BPSS is being carried out as part of the groundwork for NSV, where a full check of criminal records ("spent" and "unspent") are made as part of that process.
2.6.2	Under the terms of the Rehabilitation of Offender Act 1974, it is reasonable for employers to ask individuals for details of any "unspent" criminal convictions. The Act states that if an offender remains free of further convictions for a specified period (the "rehabilitation period"), the conviction becomes spent. Where rehabilitation has taken place, the individual is to be treated as if the offence had never been committed.
2.6.3	The *Contractor's* attention is drawn to the basic disclosure certificate check option available from Disclosure and Barring Service to meet this verification requirement.
2.6.4	Where "unspent" convictions have been disclosed, the *Contractor* carries out a risk assessment, which may include the need for legal advice, before proceeding further.

2.7	**Approval for employment**
2.7.1	General guidance and requirements post BPSS verification are contained in Part IV – Post Verification Process of the HMG BPSS. An outline description of the core requirements is included below but does not relieve the *Contractor* from its obligation to comply with all the requirements of the BPSS.
2.7.2	Subject to paragraph 2.7.3 below and unless advised to the contrary by the *Client*, all Staff for whom a completed BPSS has been submitted may be treated by the *Contractor* as suitable to undertake the duties referred to in paragraph 1.2.1 above.
2.7.3	The *Client* ordinarily requires a period of 3 working days from receipt of a fully completed BPSS security check for its internal approvals process and prior to the subsequent issue of access permits and passes. The *Client* may exclude from the working areas any individual for whom a BPSS Verification Record is not supplied, is incomplete or is otherwise unsatisfactory.
2.7.4	BPSS Verification Records with a sealed Criminal Record Declaration are assessed separately on a case by case basis by the *Client*. The *Client* advises the *Contractor* if the individual has been approved as suitable to undertake all or any of the duties referred to in paragraph 1.2.1 above.
2.8	**Incomplete or unsatisfactory BPSS verification records**
2.8.1	Where a BPSS is incomplete or is otherwise unsatisfactory, the *Client* advises the *Contractor* of the deficiencies and the actions needed to correct them.
2.8.2	The *Client* contacts the Security team to address any actions needed as a result of an incomplete or otherwise unsatisfactory BPSS check.
2.9	**Renewal of the BPSS**
2.9.1	Under most circumstances, renewal of the BPSS is not required.
2.9.2	The *Contractor* rechecks the immigration status of migrant Staff before their current right to remain in the United Kingdom expires or within 12 months of the previous check, whichever is the sooner. These checks are repeated until the employee can demonstrate an indefinite right to remain in the United Kingdom or until the employment comes to an end.
2.9.3	The *Client* instructs the *Contractor* to carry out additional security checks on any Staff required to operate in or on a List X premises owned, operated or accessible by the *Client*.
2.9.4	If an individual, who has previously been subject of a BPSS check, leaves the employment of the *Contractor* and is subsequently re-employed by the *Contractor* within twelve months, the original security check authorisation may be reinstated.

	The *Client* may require additional evidence before reinstating the original security check authorisation. In all other cases of re-employment, the full BPSS security check is to be carried out.
2.10	**Ongoing personnel security management ("aftercare")**
2.10.1	The *Contractor* monitors, manages and supports the required behaviours of Staff who are approved for work on this contract in line with the principles contained in the Security Policy Framework and reports to the *Client* immediately if the continuing suitability of an employee is in doubt.
2.10.2	Where the *Contractor* reports a case of doubt or the *Client* considers that the actions of any individual does not conform to the *Client's* required behaviours, the *Client* may instruct the *Contractor* to review the performance of the individual concerned. The *Contractor* takes appropriate action in consequence of the review, which may include • agreeing a performance improvement plan; • a temporary suspension of permits and passes; or • removal of the individual in accordance with the core clause 21.3 of the NEC4 Term Service Short Contract (TSSC).
2.11	**Retention of documentation**
2.11.1	The documentation associated with the BPSS security check is retained by the *Contractor* until the expiry of the contract period and for a period of twelve months after the individual has ceased to be employed on this contract.
2.11.2	The *Contractor* destroys all electronic and paper copies of documentation which it is no longer required to retain.
3	**PART TWO – NATIONAL SECURITY VETTING (NSV)**
3.1	**Procedures**
3.1.1	In all cases, verification of identity and the individual's entitlement to undertake the work in question is to be carried out before embarking on NSV.
3.1.2	Other than in exceptional circumstances, NSV is not to be undertaken before the individual's BPSS check has been completed satisfactorily. The *Contractor* agrees with the *Client*, on a case by case basis, any exceptional cases where NSV and BPSS procedures are required to be carried out in parallel.
3.1.3	The *Client* determines if any Staff need to undertake NSV in addition to the BPSS check.
3.1.4	If the *Client* considers that NSV is required, the *Client* identifies, manages and undertakes the necessary vetting at the *Client's* expense.

3.1.5	Where the *Client* determines that NSV is required, the approvals process set out in section 2.7 Approval for employment does not apply, unless the *Client* instructs otherwise. Access permits and passes are ordinarily only issued on satisfactory completion of NSV.
4	**PART THREE – CABINET OFFICE EFFICIENCY AND REFORM GROUP REQUIREMENTS**
4.1	**Site admittance**
4.1.1	The *Contractor* submits to the *Client* details of people who are to be employed by it and its Subcontractors for the provision of the *service*. The details include a list of names and addresses, the capacities in which individuals are employed and any other information required by the *Client*.
4.1.2	The *Client* may instruct the *Contractor* to take measures to prevent unauthorised persons being admitted on to the property affected by the *service*. The instruction is a compensation event if the measures are additional to those required by the Scope.
4.2	**Passes**
4.2.1	All Staff are required to carry a *Client's* pass whilst working in any of the *Client's* premises.
4.2.2	The *Contractor* submits to the *Client* for acceptance a list of the names of the people for whom passes are required. The *Client* issues the passes to the *Contractor*. Each pass is returned to the *Client* when the individual no longer requires access to the *Client's* premises or after the *Client* has given notice that the individual is not to be admitted to any of the *Client's* premises.
4.3	**Recorded images**
4.3.1	The *Contractor* does not take recorded images, for example, photographs or videos, of the *Client's* premises the *service* or any part of them unless it has obtained the acceptance of the *Client*.
4.3.2	The *Contractor* takes the measures needed to prevent Staff taking, publishing or otherwise circulating such recorded images.
5	**BASELINE PERSONNEL SECURITY STANDARD (BPSS) CHECK**
5.1	**Introduction**
5.1.1	Unless advised otherwise it is the *Client's* hiring manager who completes a BPSS check. All Staff, working on the *Client's* premises or with its technology, have to be BPSS approved before it begins working for or with the *Client*. The BPSS form and guidance have been produced to assist the *Client's* hiring managers undertaking

	checks and to ensure all checks meet the standards set out in the Security Policy Framework.
5.1.2	The BPSS form and guidance notes are in Appendix A to Annex 4 of the Scope.

6 APPENDIX A - BASELINE PERSONNEL SECURITY STANDARD (BPSS) FORM AND GUIDANCE

Appendix A

Baseline Personnel Security Standard Check

Introduction

Unless advised otherwise it is the *Client's* hiring manager who completes a Baseline Personnel Security Standard (BPSS) check. The *Client's* hiring manager for the contract is the *Client*. All Staff, working on the *Client's* premises or with its technology, have to be BPSS approved before it begins working for or with the *Client*. This form has been produced to assist the *Client's* hiring managers undertaking checks and to ensure these checks meet the standards set out in the Security Policy Framework (SPF) May 2018 and the HMG Baseline Personnel Security Standard v6.0 – May 2018 (and any subsequent amended versions).

This document contains the BPSS form and guidance notes to assist with the form completion.

Please read the guidance notes fully before starting to complete this form.

This document is split into:

BPSS Form sections:

1. Applicant details and identity verification
2. Nationality and right to work
3. Employment and academic history and personal references
4. Criminal records check
5. Declarations

Guidance notes:

Annex A: General notes

Annex B: Identity verification

Annex C: Nationality and right to work

Annex D: European Economic Area (EEA) countries

Annex E: Employment and academic history and personal references

Annex F: Personal reference template

Please note that if the applicant only requires external email access to Highways England's computer systems (known as ZZ account) only sections 1, 2, 3 and 5 need to be completed. The *Client's* hiring manager sends the form to ITSecurityAdvice@highwaysengland.co.uk. A criminal records check is not required for ZZ accounts.

If the applicant already has BPSS approval from their current employer, they are not required to complete another check so long as the applicant has remained in this employment

continuously or has been re-employed by the employer within twelve months of their resignation. The *Client* may require additional evidence before reinstating the original security check authorisation. If the *Client's* hiring manager is informed of this by the *Contractor*, the *Client's* hiring manager needs to email the Security team who checks the applicant's details against their records for existing BPSS approvals.

If assistance is required to complete this form, the *Client's* hiring manager should contact the Security team via email on SecurityTeam@highwaysengland.co.uk.

BPSS FORM

SECTION 1 - Application details and identity verification

1.1 *Client's* hiring manager details

Hiring manager's name:	
Company location:	
Telephone number:	

1.2 Applicant details

Applicant's name:	
Gender:	Male / female (please delete as appropriate)
Current home address:	
Contact telephone number:	
Prospective Highways England place of work:	
Prospective start date:	
Position:	*Contractor* / *Consultant* (please delete as appropriate)

1.3 Identity verification (for the *Client's* hiring manager)

The applicant presents the *Client's* hiring manager with appropriate documentation to prove their identity. Annex B – Identity verification provides details of which documents are acceptable and general guidance on this section. Generally, one document which contains a photo or 2 documents without photos are sufficient.

Please note the document(s) you have seen below:

Document type:		Date of issue:	
Country of issue:		Date of expiry:	

Document type:		Date of issue:	
Country of issue:		Date of expiry:	

(please replicate table for each document taken as required)

SECTION 2 - Nationality and right to work

2.1 Applicant's details

Nationality (list all):

Are you subject to immigration control? Yes/no (please delete)

If yes, please specify:

Are there any restrictions on your continued residence in the UK? Yes/no (please delete)

If yes, please specify:

Are there any restrictions on your continued freedom to take employment in the UK? Yes/no (please delete)

If yes, please specify:

Are you subject to the EU Settlement Scheme? Yes/ no (please delete)

If yes, please specify your status under the scheme and provide your EU Settlement Status verification code for employers:

Settled status/ Pre-settled status (please delete)

Verification code:

2.2 Nationality verification (for *Client's* hiring managers)

The applicant has to provide you with appropriate documentation to prove they have the 'right to work' in the UK. The list of acceptable documents is provided by UK Visas and Immigration accessible here.

You have to follow their 3-step guide accessible here.

Annex C below contains general guidance on this section.

Annex D below contains a list of European Economic Area (EEA) countries whose citizens have a 'right to work' in the UK.

Please note the document(s) you have seen below:

Document:	
Date of issue:	
Review date (if applicable):	

(please replicate table for each document taken as required)

SECTION 3 – Employment and academic history and references

3.1 Applicant's employment history (past 3 years)

Please provide details of all the companies or educational organisations you have worked for or studied at in the last 3 years (whether in the UK or overseas). You need to provide references from these employers and educational organisations:

Company name:	
Company address:	
Contact name:	
Period of employment:	

Company name:	
Company address:	
Contact name:	
Period of employment:	

Company name:	
Company address:	
Contact name:	
Period of employment:	

(please replicate table as required)

3.2 Gaps in applicant's employment history
Please describe any gaps in your employment including time spent in full-time education, any foreign travel or periods of unemployment within the past 3 years:

3.3 Employment verification (for *Client's* hiring managers)
You need to obtain confirmation from all the companies listed, as well as letters from schools/ academic institutions and passport visas to confirm overseas travel. Annex E below provides guidance on this section.

Please answer the 3 sections below:

a) Please confirm that you have verified employment with all the companies listed: Yes/no (please delete)

If no, please explain why this was not possible:

b) Please confirm the documents you have seen which verify any gaps in employment:

Document:	
Date of issue:	

(please replicate table as required)

c) If you have obtained a personal reference, please record the referee's details below:

Referee:	
Relationship to applicant:	
Address:	

SECTION 4 - Criminal record check

4.1 Information for applicants

The *Client* requires a criminal record check to confirm if you have any unspent convictions. You do not need to tell us about any spent convictions.

A basic Disclosure and Barring Service (DBS) check is the criminal record check available for people living or working in England and Wales. If you have been living or working in Scotland or Northern Ireland for over 6 months in the last 3 years, another criminal record check is applied for. Full details on how to apply can be found here.

Once you have applied, please keep a copy of the reference number to provide to your hiring manager.

Further details on what information is included on each certificate are on the relevant website. It is helpful to tell your hiring manager about offences that are shown on your certificate, before your certificate arrives.

4.2 Criminal records check verification (for *Client's* hiring managers)

The applicant has to provide the *Client's* hiring manager with either:

- evidence that the application for the certificate has been submitted (e.g. reference number or screen shot); or
- a recent (issued within 3 months*)* original criminal records certificate; or
- an older original certificate if the applicant still works for the same employer and the check was carried out as part of their employment.

Please note the document you have seen below:

Document:	
Date of issue:	

(please replicate table as required)

If the application has only just been made, hiring managers need to make sure they review the certificate when it arrives. If hiring managers are unsure about any of the details shown on the certificate, please contact the Security team.

An overseas criminal record certificate is required if the applicant has been outside of the UK for a period of 6 months or over in the last 3 years. The Security team can provide guidance on how to obtain these certificates.

SECTION 5 - Declarations

5.1 Applicant's declaration:

I declare that the information I have given on this form is true and complete. In addition, I understand that any false information or deliberate omission in the information I have given on this form may prevent me from working with the *Client*. I will notify the hiring manager of any material changes to the information I have provided.

Name:	
Signature:	
Date:	

5.2 *Client's* hiring manager's declaration:

I certify that in accordance with the requirements of the BPSS, I have examined the documents listed on this form and can confirm that the applicant has satisfied the requirements in all sections.

I have made available to the applicant the appropriate privacy notice (see Guidance Notes - Annex A below), which informs the applicant as to their statutory rights under the Data Protection Act 2018 and General Data Protection Regulation.

Name:	
Signature:	
Date:	

GUIDANCE NOTES

Annex A

General notes

- The *Client's* hiring manager has to see original documents, copies are not acceptable.

- At all times, the *Client's* hiring manager needs to check that birth dates, signatures and photos match the individual and across documents presented. If any discrepancies are found, please contact the Security team for advice.

- The *Client's* hiring manager has to comply with the Data Protection Acts and General Data Protection Regulation (GDPR), therefore

  - remember to delete any electronic versions of this form/ personal documents and securely destroy paper copies of documents when they are no longer relevant. UK Visas and Immigration provides advice on how long to keep copies of nationality and right to work documents here and

  - issue the applicant with the latest Highways England BPSS Privacy Notice document.

- Once the applicant starts work, the *Client's* hiring manager needs to email the Facilities helpdesk to request that the applicant's photo is taken for their *Client's* premises pass and an induction to the relevant premises is undertaken.

- If the *Client's* hiring manager is not located in the same premises as the applicant, the *Client's* hiring manager needs to make sure there is someone available to greet the applicant at reception and undertake a new starter induction. The *Client's* hiring manager needs to make sure that reception is aware of the date the applicant is starting work.

If the *Client's* hiring manager has any questions regarding this form or the BPSS check itself, the Security team can be contacted for assistance. If the *Client's* hiring manager would prefer to speak to someone, please state this in your email and a member of the Security team will call you as soon as they can.

Annex B

Applicant details and identity verification

Generally, one document which contains a photo or two documents without photos provides adequate proof of identity. However not all documents are of equal value; listed below are some examples of documents that are from reliable sources, are difficult to forge and are dated. Documents with an expiration date have to be current and all others should have been issued within the last 6 months.

Good examples of identity documents that contain a photo are:

- Current UK photo-card driving licence and
- Current passport.

If the applicant is a citizen of the United Kingdom, Switzerland or one of the European Economic Area countries (see Annex D), their passport can also be used as proof of their 'right to work'. This means that no additional documentation is required to prove nationality.

Following the UK leaving the EU on 31st January 2020, there will be no change to the rights of EEA nationals until the end of the planned implementation period on 30 June 2021.

EEA nationals who receive settled or pre-settled status under the EU settlement scheme have the right to work in the UK.

Good examples of identity documents without photos include:

- Birth, adoption or gender recognition certificate,
- Marriage licence, divorce (decree absolute) or annulment papers,
- Current full UK driving licence (old 'paper' version),
- A recent utility bill (issued within the last 6 months),
- A council tax bill (valid for the current year period),
- Bank, building society or credit union statement (issued within the last 6 months) or passbook containing the applicant's current address,
- Current benefit book or card or original notification letter from the DWP confirming the right to benefit (these documents are not required to be dated within the last 6 months) and
- Police registration document or HM Forces identity card.

This is not an exhaustive list and if none of these documents are available, please contact the Security team for further advice.

What to look for when examining documents:

- The documents shown to you have to be the original documents. If you are unsure, consider comparing them to other examples you may have to hand if applicable. Otherwise please consult Her Majesty's Passport Office guidance for checking UK Passports here,
- Examine the documents for alterations or signs that the photograph and signature have been removed and replaced,
- Check that any signature on the documents tallies with other examples in your possession. If you're unsure, ask the applicant to sign something in your presence,
- Check that details given on the documents corresponds with what you already know about the individual and
- Check the date of issue on each document. If all documents are newly issued and there are only minimal references available which do not cover the last three years' employment records, please contact the Security team for more advice.

If you have any doubts about the documents you have been given, please contact the Security team, before discussing your concerns with the applicant.

Young Applicants

It can be difficult for young applicants to supply most of the documents listed above. If this appears to be a genuine problem, ask the applicant to supply a passport-sized photo, endorsed on the back with the signature of someone of standing in the applicant's community, e.g. a justice of the peace, doctor, member of the clergy, teacher etc. The signatory should have known the applicant for a minimum of three years.

The photo has to be accompanied by a signed statement from the signatory giving their full name, address and phone number and confirming the period they have known the applicant.

Annex C

Nationality and right to work

The current advice from UK Visas and Immigration on nationality and right to work in the UK is available on their website.

In addition, please note:

- The *Client's* hiring manager has to be satisfied that each document produced relates to the applicant, and you will need to check that all documents contain the same date of birth, photo and the applicant's appearance looks the same across documents presented,

- It is not necessary to send copies of these documents to the Security team. However, if the *Client's* hiring manager is unsure or unfamiliar with the documents it has been given, the Security team are available to advise further. Please email the Security team in the first instance and, if required, the *Client's* hiring manager will be asked to scan the relevant parts of the documents in question and send it to the team for their review.

- The UK Visas and Immigration website provides advice on how long to keep copies of nationality and right to work documents here.

Annex D

European Economic Area (EEA) Countries

Citizens of the United Kingdom, Switzerland or one of the following European Economic Area (EEA) countries, have the right to work in the UK. Further information is available here.

Following the UK leaving the EU on 31st January 2020, there will be no change to the rights of EEA nationals until the end of the planned implementation period on 30 June 2021. EU nationals will continue to be able to use the documents listed in this section as proof of their right to live and work in the UK until the end of the planned implementation period.

EU nationals who receive settled or pre-settled status under the EU settlement scheme have the right to work in the UK.

- Austria
- Belgium
- Bulgaria
- Cyprus
- Czech Republic
- Denmark
- Estonia
- Finland
- France
- Germany
- Greece
- Hungary
- Iceland
- Ireland
- Italy
- Latvia
- Liechtenstein
- Lithuania
- Luxembourg
- Malta
- Netherlands
- Norway
- Poland
- Portugal
- Romania
- Slovakia
- Slovenia
- Spain
- Sweden

Annex E

Employment history and personal references

- All employment history should be confirmed with previous employers, including overseas appointments (where the applicant was abroad for over 6 months).

- Where an individual is or was self-employed, references can be obtained from previous clients and companies the individual has provided services or works to acting as a consultant or contractor. The *Client's* hiring manager should treat each case on its own merits and, where required, may request further evidence in the form of HMRC tax returns, accountant's certified company accounts or use the process for personal references below.

- A template to send to previous employers and personal referees can be found in Annex F below. However most companies will now only provide official confirmation of when an individual worked for them (on letter headed paper). This is acceptable.

- Reasonable steps should be taken to ensure that the reference is genuine. References that are handwritten, not on letter headed paper, contain spelling or grammatical errors or is just not convincing for any reason, should be followed up directly with the individual(s) providing the reference.

- If the applicant has been unemployed, or its previous employer is no longer in business, a personal reference can be obtained instead (see below). This is not necessary if the period involved is less than 6 months long.

- If the applicant has only worked for one organisation in the last 3 years, then one reference from this company is sufficient.

- Where an applicant has been in full time education during the period, confirmation of this has to be obtained from the relevant school or other academic institution.

- Where an applicant has been overseas during the last 3 years, it is sufficient to see the entry visa for the country stated (this only applies to citizens which do not hold an EEA passport or EU settlement status). Some countries no longer issue exit visas.
- Where a young person has difficulty in providing both evidence of identity and adequate referee coverage, it may be appropriate to obtain both from the same referee.

Personal references

- Personal references are acceptable when no other reference is available. In the event of prolonged unemployment lasting 3 years or more, one personal reference covering a period of 3 years is required. Family members (including in-laws) are not suitable for references.

- The applicant should provide the details of someone of professional standing (e.g. solicitor, civil servant, teacher, accountant, bank manager, doctor, officer of the armed forces) who has sufficient knowledge of the applicant to provide a considered reference. If the applicant is unable to nominate such a person, then references should be obtained from personal acquaintances. Personal acquaintances cannot provide references if they are involved in any financial arrangements with the applicant.

Annex F

Personal reference template

[The Client's hiring manager can use this template to send to both previous employers and personal referees. The hiring manager will need to include a covering letter, explaining that they are requesting this information in relation to the applicant's proposed role working for or with the *Client.]*

……..

Dear

SUBJECT: ***[insert applicant's name]***

1. Over what period have you known the subject and in what capacity?

Date from:		Date to:	
Capacity:			

2. Are you related to the subject? If so, please state your relationship.

3. Are you involved in any financial arrangements with the subject?

YES/ NO (please delete)

4. Do you believe the subject to be honest, conscientious and discreet?

I declare that the information I have given on this form is true to the best of my knowledge.

Name:	
Signature:	
Date:	
Address:	
Telephone number:	
Email address:	

Highways England Company Limited

Scope

Customer Service

Annex 05

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1	CUSTOMER REQUIREMENTS
1.1	**Consideration of others**
1.1.1	The *Contractor* • registers the *service* under the Considerate Constructor Scheme and • complies with the Considerate Constructor Scheme's Code of Considerate Practice in Providing the Service (See Link in **Annex 02**).
1.2	**Customer Service**
1.2.1	The customer is any person or organisation that uses or is affected by the s*ervice*, including: • road users, • communities and community groups, • tenants and persons and organisations that lease from the *Client* and • the public impacted by the *service*.
1.2.2	The *Client* has published an overarching Customer Service Strategy (See Link at **Annex 02**), which sets out the approach to improving works and services provided to its customers. The *Contractor* collaborates with the *Client* to support the successful delivery of this strategy. Key aspects of this strategy include • consistently effectively and efficiently Provide the Service; working to manage delays and make journeys as safe and stress free as possible, • improving our service and network; being more effective in the way we operate, maintain and improve our roads and • developing our relationships with customers; building strong dialogue with our customers and communities, providing information to help people make the best choices and understanding the needs and expectations of the customer.
1.2.3	The *Contractor* notifies the *Client* of any customer service issues and provides support in the mitigation of any negative consequences that could affect the delivery of the *service* or achievement of the aims and objectives in the Customer Service Strategy.
1.2.4	The *Contractor* embeds throughout its workforce an understanding of *Client* imperatives, values, culture, strategy and objectives. Awareness is fostered at every opportunity including at; on-boarding and induction, performance

	reviews, site meetings and through delivery of learning and development opportunities including *Client* e-learning (once available).
1.2.5	The *Contractor* ensures that *Client* customer requirements are cascaded to and adhered by the extended supply chain.
1.2.6	The *Contractor* delivers *Client* customer service requirements fully inclusively and accessibly and that this is evidenced within the Inclusion Action Plan (See Link in **Annex 06**).
1.2.7	The *Contractor* reviews their policies, procedures and processes to ensure that there are no adverse customer equality impacts throughout delivery of the *service* on protected characteristics or affected groups.
1.2.8	Not used
1.2.9	Not used
1.2.10	The *Contractor* provides any information that is needed to enable the *Client* prepare statements or responses to questions or issues raised by or on behalf of any customer. The *Contractor* provides such information within any time periods which may be imposed by the *Client* (acting reasonably having regard to the purpose of the provision of the information requested and to the nature and extent of the information requested). If the *Contractor* cannot provide the required information to support the *Client's* response, the *Contractor* immediately notifies the *Client*, detailing the reasons. The timescales are to be those as listed in the corporate customer complaints process (See Link at **Annex 02**).
1.2.11	The *Contractor* implements the principles as set out in the *Client's* 'Roadworks A Customer View' (See Link at **Annex 02**). Alongside this, the "dynamic roadworks vision" is an aspiration for all projects, with a view to achieving it by the end of Road Investment Strategy 2 (RIS2). The *Client* recognises that a balance needs to be made with cost and time constraints. Any deviations from implementing the principles set out in "Roadworks A Customer View" are to be agreed with the *Client*.
1.2.12	The *Contractor* innovates and challenges the conventions traditionally used to design and manage traffic to help deliver better outcomes on its network and for local communities affected by diversion routes.
1.2.13	The *Contractor* will minimise impact to customers while delivering the *service.* The *Contractor* is to take all necessary actions to ensure that drivers and road users are aware of the road works, lane closures and disruptions to their trips before commencing their journeys with the earliest possible notice in line with Network Occupancy Management System requirements.

	The *Contractor* contributes to the traffic management communications plan of the start of planned works in which key messages, communication channels and target audiences are to be identified and which sets out the processes and procedures for communications. The *Contractor* is to contribute to engagement with the local and wider community, including businesses, to listen to their views and concerns and formulate solutions on an ongoing basis as part of the traffic management approach striving and demonstrating continuous improvement and customer engagement.
1.2.14	Not used
1.2.15	Not used
1.2.16	Not used.
1.2.17	Not used
1.2.18	Not used
1.2.19	The *Contractor* records performance against customer and stakeholder performance metrics in accordance with section S 341 (Performance measurement) of the Scope within the performance strategy. The *Contractor* assures that all current and future Customer Service Standards are complied with throughout the delivery of the *service*.
1.2.20	The *Client* may conduct customer audits of the *Contractor's* policies, procedures and practices at such times as required. The *Contractor* cooperates with such requests and provides all information requested by the *Client*.
1.2.21	During the life of the contract, the *Client* may suggest recommendations to the *Contractor's* quality plan to improve customer service assurance. The *Contractor* implements these recommendations or responds to the *Client* giving reasons why they are not accepted.
1.3	**Customer Relationship Management**
1.3.1	The *Client* operates customer relationship management (CRM) system for managing all stakeholder and customer correspondence. Details of Information Systems can be found in Annex 09. The *Contractor* uses the *Client's* CRM system in managing all stakeholder and customer correspondence.
1.3.2	The *Contractor* liaises with the *Client* to ensure that appropriate staff receives CRM training.

Highways England Company Limited

Scope

People Strategy

Annex 06

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1	**PEOPLE STRATEGY**
1.1	**EQUALITY DIVERSITY AND INCLUSION**
1.1.1	The *Contractor* assists the *Client* in the achievement of its equality, diversity and inclusion (EDI) objectives. The *Client's* objective is to embed principles of equality, diversity and inclusion into all areas of its business, driving real change in how it works with its customers and communities, its supply chain (at any stage of remoteness from the *Client*) and its employees. The *Client* believes that to achieve its vision of being the world's leading road operator it needs to better understand and meet the different needs of its large and diverse customer base and factor these needs in to the design and delivery of its service. This requires the *Client* to work collaboratively with its supply chain (at any stage of remoteness from the *Client*) so that its workplaces are inclusive, and the strategic road network is accessible and integrated for both its users and communities living alongside the network. The *Client* therefore requires the *Contractor* to demonstrate how it develops an iterative approach in supporting the *Client* and in meeting its equality, diversity and inclusion objective throughout the *service*. The *Client* also believes that to achieve outstanding performance it needs to attract, recruit, develop and retain talented people from all groups within the active labour force and then work to ensure an inclusive environment in which all can thrive. The *Client* expects its supply chain (at any stage of remoteness from the *Client*) to share and promote the same values in terms of equality, diversity and inclusion as well as supporting its wider vision.
1.2	**Inclusion Action Plan**
1.2.1	The "Inclusion Action Plan" (IAP) (see template in Appendix A below) covers the key areas of EDI. The IAP focuses attention throughout the *service* on • gathering diversity and inclusion intelligence, • analysing this intelligence to identify opportunities to improve and • developing, delivering and evaluating an action plan considering the above. This will enable the *Client* and its supply chain (at any stage of remoteness from the *Client*) to identify and deliver opportunities, creating tangible benefits which will make visible difference in the priority performance areas • to create an inclusive working culture, practice and environment that leverages the performance advantage that diversity can bring,

	• to understand the diverse needs of our customers/ communities and ensuring appropriate action is taken to be 'a good neighbour' throughout the life of the *Client's* contracts and • by holding themselves and the supply chain (at any stage of remoteness from the *Client*) to account in delivering the above. The *Contractor* ensures that the IAP is accompanied by relevant contextual information and relates specifically to the contract. The *Contractor* can append key relevant policy documents such as its equality and diversity policy (or equivalent) to the IAP. The IAP relates specifically to the *Contractor's* business.
1.2.2	The IAP names an individual from the *Contractor* to act as the EDI lead to • be responsible for ensuring the implementation and on-going development of the IAP, • ensure quarterly reports and information are provided as required, • facilitate continuous improvement reviews and • act as a single point of contact on all matters concerning EDI.
1.2.3	The *Contractor* prepares an IAP in accordance with the template provided in Appendix A and submits it to the *Client* for acceptance prior to the Access Date to demonstrate how it develops an iterative approach to supporting the *Client* in meeting its EDI objectives throughout the *service*.
1.2.4	All relevant information for the submission is to be included and the total IAP does not exceed 20 pages except for any appendices. Any appendices only include relevant policies as any other information will not be considered. The IAP includes • current EDI position/ baseline - what does the *Contractor's* baseline data say about where it is (this provides some guidance as to the additional actions to be taken or actions to be dis/continued), • action/ task – what the *Contractor* does to meet the requirements, • when does this happen – when does the *Contractor* take the action specified above, • responsible officer – who within the *Contractor's* organisation is responsible for this action, • resource - the *Contractor* considers the resources needed to act over and above the responsible officer and • measure of success (outcome/ key performance indicators (KPIs)) – what does success look like? How does the *Contractor* know it has made a tangible difference? What difference has this activity made?
1.2.5	A reason for the *Client* not accepting the IAP is that • it does not demonstrate how the requirements will be passed down to any subcontractor (at any stage of remoteness from the *Client*), • it does not demonstrate how the *Contractor*

	○ attracts, recruits and retains a greater diversity of new entrants to the sector, ○ ensures the working culture, practice and environment is inclusive, ○ considers and understand the diverse needs of customers and neighbouring communities, ○ holds itself and any subcontractor (at any stage of remoteness from the *Client*) to account in delivering the plan, ○ monitors and evidences year on year improvements or it does not meet the aims of the equality duties contained within the Discrimination Acts and set out in section S 331 Discrimination of the Scope.
1.2.6	Each quarter, the *Contractor* prepares a progress report against the IAP and provides a copy to the *Client* within 14 days of the end of each quarter. The *Client's* Collaborative Performance Framework (CPF) team will review and score the IAP in line with the Collaborative Performance Framework (CPF) metrics.
1.3 Employment and Skills	
1.3.1	The *Contractor* ensures that the skills, resources and capabilities are in place, in its own organisation and throughout its supply chain (at any stage of remoteness from the *Client*), to deliver the *service* and performance required including • quantifying and delivering on any new employment opportunities that is generated whilst Providing the Service and outlining how the *Contractor* and its supply chain (at any stage of remoteness from the *Client*) ○ attract new people to apply, giving particular consideration to attracting under-represented groups that have not historically seen the sector as a career option, for example, women, Black Asian and minority ethnic, the long term unemployed, those not in employment, education or training (NEETs) and people with disabilities and ○ recruit new people into the sector. • identifying and delivering on opportunities to develop and deploy new skills that will improve performance against the *Client's* key performance indicators and imperatives (see Scope section S 341 and **Scope Annex 02**). This should include those new skill areas outlined in the Transport Infrastructure Efficiency Strategy (see **Scope Annex 02**) and • identifying and delivering on opportunities to improve perceptions of careers within the highways sector including through outreach, work placements/ experience and apprenticeships to develop a new talent

	pool for the sector. This includes but is not limited to assisting the *Client* in delivering on its commitments in relation to the Transport Infrastructure Skills Strategy: building sustainable skills.
1.3.2	Within 4 weeks of contract award, the *Contractor* prepares and submits the "Employment and Skills Plan" (ESP) in accordance with the template in Appendix B to the *Client* for acceptance.
1.3.3	A reason for the *Client* not accepting the ESP is that it does not • demonstrate how the *Contractor* complies with the contract, • demonstrate how the requirements will be passed down the supply chain (at any stage of remoteness from the *Client*), • clearly define outputs and how they will be measured and • meet or evidence how the *Contractor* o attracts, recruits and retains a greater diversity of new entrants to the sector, o holds itself and its supply chain (at any stage of remoteness from the *Client*) to account in delivering the plan or o monitors and evidences year on year improvement.
1.3.4	The *Contractor* appoints an individual as employment and skills lead to • be responsible for ensuring the implementation, on-going development of the ESP, • ensure quarterly reports and information are provided as required, • facilitate continuous improvement reviews and • act as a single point of contact on all matters concerning employment and skills for the *service*.
1.3.5	The *Contractor* submits to the *Client* for acceptance an annual report of the *Contractor's* workforce planning and development data using the template in Appendix C twelve months after submission of the ESP, and every 12 months after that Until the end of the Service Period.
1.3.6	A reason for the *Client* not accepting the workforce planning annual report is that it does not demonstrate how the *Contractor* • complies with the contract, • complies with any guidance issued by the *Client*, • supports the aims of the Transport Infrastructure Skills Strategy: Building Sustainable Skills or • successfully addresses any shortfall in staff skills within the *Contractor* or its supply chain (at any stage of remoteness from the *Client*).

1.3.7	The *Contractor* facilitates the *Client*, in undertaking continuous improvement reviews of all information regarding the *Contractor's* progress in delivering against the provisions of employment and skills requirements including • ensuring that its supply chain (at any stage of remoteness from the *Client*) maintain and retain records relating to the ESP and their compliance with the contract and • granting or procuring the grant of access to any o premises used in the *Contractor's* Providing the Service whether the *Contractor's* own premises or otherwise and o equipment (including all computer hardware and software databases) used (whether exclusively or non-exclusively) in Providing the Service, wherever situated and whether the *Contractor's* own equipment or otherwise and o complying with the *Client*'s requests for access to senior personnel engaged in Providing the Service.
1.4 Skills and Apprenticeships	
1.4.1	The *Client* is required to monitor and report to the Department for Transport (DfT) on apprenticeships created and in place in the delivery of their programme. To support this the *Contractor* delivers new apprenticeships on the contract and submits to the *Client*, on a quarterly basis, the apprenticeship report as detailed in Appendix D. The due dates for this reporting will be confirmed to the *Contractor* by the *Client* after the Contract Date.

1.5 Appendix A – Inclusion Action Plan (IAP)

INCLUSION ACTION PLAN				**Reporting Period:**			
Name of Contract:		**Start Date:**		**Finish Date:**		***Client:***	
INTELLIGENCE							
Objective 1: To create an inclusive working culture, practices and environments that enable everyone to perform to their full potential. Objective 2: Consider and value the diverse needs of customers and neighbouring communities at all stages of the contract. Objective 3: Develop wider supply chain capability around EDI.							
Data							
Analysis							
Priorities for Action							

INCLUSION ACTION PLAN							
	Inclusion objective	**Baseline position – how and what did the *Contractor* use to get here?**	**Action/ task to meet requirements**	**When**	**Responsible Officer**	**Measure of success (MoS) – what difference has this made?**	
1	**Employment – outline the steps the *Contractor* will take to create a working environment and culture that enables everyone to perform to their potential.**						
2	**Customer and communities – outline the steps the *Contractor* will take to genuinely consider the differing needs of customers and neighbouring communities when making decisions throughout the life of the project.**						
3	**Governance and accountability - describe how the *Contractor* will hold itself and those in its supply chain to account in delivering the IAP and monitoring the difference made in relation to the above.**						

1.6 Appendix B – Employment and Skills Plan (ESP)

The ESP is comprised of four sections

- section 1 - Workforce Planning and Development Data,
- section 2 - Methodology,
- section 3 - Statement of Outputs and
- section 4 - Implementation Action Plan.

Section 1 – Workforce Planning and Development Data

This section includes analysis and reports on workforce planning and development data for the Scope. This analysis includes as a minimum

- an assessment of supply and demand of people capacity and capability needed to deliver the *service* including through its supply chain (at any stage of remoteness from the *Client*),
- a forecast of annual gaps in people capacity and capability for the duration of the *service*, with quarterly updates and identification of those gaps that are critical using the occupational descriptors (see link in **Annex 02**),
- a baseline workforce diversity profile,
- an assessment of market intelligence on supply of labour within the market and
- preferred employment and skills solutions to address capacity and skills gaps.

Section 2 - Methodology

This section describes

- how the commitments in the Tender Commitments Register are to be delivered and built on,
- how the *Contractor* community (trade contractors, subcontractors, partners working on the contract) have been engaged in the development and their support secured for subsequent delivery of the plan and
- how the target outputs as set out in the ESP have been identified.

Section 3 – Statement of Outputs

This section includes a statement of all outputs to be delivered as part of the ESP. This includes

- improvement in its inclusive recruitment capability verified by a recognised inclusive recruitment specialist,
- the greater of either
    - one apprenticeship for every £3M by which the Price for Work Done to Date is forecast to or actually changes (whichever is the greater) or
    - 2.5% of the total workforce forecast to be or actually engaged on the contract (whichever is greater),
- quantification of each of the outputs scheduled in table 1 below, influenced by the needs of the *service* and the context and how these will be delivered and
- in delivering on the apprenticeship targets, the *Contractor* assists the *Client* in its commitment to increasing the diversity of the sector's workforce and to contributing to achieving the Transport Infrastructure Skills Strategy: Building Sustainable Skills ambition of
    - 20% of new entrants to engineering and technical apprenticeships to be female by 2020, achieving parity with the working population by 2030,

- meeting the government's target for the number of Black, Asian and Minority Ethnic candidates undertaking apprenticeships and
- identification and quantification of any additional outputs not schedule in table 1 and how these will be delivered.

TABLE 1: OUTPUT TYPE, PRIORITY & DEFINITION		
Output type	**Priority Area**	**Definition**
Worklessness		
Workless job start (26 weeks sustained)		A new job start, sustained for at least 26 weeks, where the candidate was previously workless prior to being employed.
Workless graduate job start		A graduate job start where the candidate was previously workless.
Apprenticeships		
Apprenticeship start		New Staff recruited as an apprentice into the workforce and enrolled on an approved apprenticeship standard (see Annex 02) relevant to the delivery of the *service*.
Existing apprenticeship		An existing member of Staff who is enrolled onto an approved apprenticeship standard in order to up skill the workforce.
Job Creation		
Job start		A new job start for an individual recruited as a result of the contract. This could include a graduate job start (non workless).
Educational/Career Support		
Placement position		A position intended to enable an individual to learn, develop or enhance their knowledge and skills in an industry or job role by providing a short work experience placement.

Professional status attainment		Number of individuals supported to attain professional registration and status in agreed critical skills shortage disciplines at no cost to the individual. This includes registration at technician, incorporated and chartered levels.
Sector skills qualifications attainment		Number of individuals supported to attain technical or occupational skills relevant to the delivery of the *service* at no cost the individual. This includes National Vocational Qualifications (NVQs), health and safety qualifications and leadership qualifications.
School engagement		Education activities that enhance the reputation of the sector and support schools and school students by raising awareness of and interest in the educational and employment opportunities in the industry.

The following outputs assist the *Contractor* in achieving the objective

1. shared training initiatives such as Shared Apprenticeship Schemes (see Annex 02).

Section 4 – Implementation Action Plan

This section is an action plan detailing

- the actions the *Contractor* plans to take to deliver on the objectives,
- what the milestones are to complete these actions,
- when these milestones are to be delivered,
- what outputs and outcomes it expects to achieve and
- who is responsible for delivering each action.

The Implementation Action Plan details

- how compliance is supported, managed and monitored throughout the *Contractor* and its supply chain (at any stage of remoteness from the *Client*) working on the contract,
- how the effectiveness of the plan is evaluated, lessons learned, captured and shared to improve employment and skills practice by the *Contractor* for the contract and for future contracts and
- how the *Contractor* intends to build capability to deliver inclusive recruitment.

In relation to improving inclusive recruitment capability the plan includes how the *Contractor*

- reviews attraction and recruitment policies and procedures to ensure the eradication of practices that are discriminatory, create unfair conditions of employment or create unequal rates of pay that cannot be justified,
- identifies and removes existing and potential barriers, as outlined in 'Recruiting for Success' (see link at **Annex 02**), which result in disproportionate impacts at different stages of the recruitment process (job design, role descriptions, job adverts, application, shortlisting, interview and hire) whether by the *Contractor* or its supply chain (at any stage of remoteness from the *Client*,
- engages in outreach activity and publicises vacancies to encourage applicants from a diverse range of groups. This includes how the *Contractor* analyses the local demographic and works with relevant partners to ensure that employment opportunities contribute as effectively as possible to local economic growth and that the workforce used to Provide the Service becomes increasingly reflective of the diverse communities served by the *service*,
- quantitatively and qualitatively monitors and reports on the effectiveness of its attraction, recruitment and promotion activity by protected characteristics,
- gains external verification from a recognised inclusive recruitment specialist of the inclusiveness of its recruitment practice,
- reviews and supports each of its subcontractors to adopt and implement an inclusive attraction and recruitment policy and action plan in respect of its respective workforces engaged in the performance of the contract and
- collaborates with the *Client* and other suppliers to effectively share good practice, learn from experience and find new ways to attract and recruit a workforce that reflects the diverse communities to be served by the Road Period.

1.7 Appendix C - Workforce Planning template and guidance

The workforce planning annual report consists of the following two sections

- progress in the previous 12 months and
- plan for the next 12 months.

Progress and current position

- an assessment of the *Contractor's* performance against targets set for the last 12 months with supporting evidence and details explaining any variance from plan,
- a workforce diversity profile showing change in the past 12 months and any variance from the plan,
- a revised assessment of supply and demand people capacity and capability needed to deliver the *service* including through its supply chain (at any stage of remoteness from the *Client*) and
- a revised assessment of market intelligence on supply of labour within the market.

Plan for the next 12 months

- a revised forecast of annual gaps in people capacity and capability,
- an update of preferred employment and skills solutions to address capacity and skills gaps,
- a forecast of annual gaps in people capacity and capability for the duration of the *service*, with quarterly updates and identification of those gaps that are critical using the occupational descriptors (see link at **Annex 02**) and
- a narrative explaining the changes that have been proposed and how they will deliver the intended results.

1.8 Appendix D - Reporting template and guidance for apprenticeships

The *Contractor* ensures that the *Client* can identify all apprentices individually appointed under the requirements of the contract and provides a rolling three-month monitoring report to the *Client* within five working days of the start of each calendar month detailing performance against the annual proposal in respect of each apprentice appointed or proposed to be appointed under the contract but who has not completed the apprenticeship, including

- number of apprenticeships to be started that month,
- actual and planned start dates for existing and proposed apprenticeships,
- postcode of workplace,
- gender,
- ethnicity,
- level of apprenticeship (1 – 7) in accordance with table 1 below as set out in the UK Government's "A guide to apprenticeships" publication of March 2019 (and as amended),
- apprenticeship framework or standard,
- occupation of apprenticeship (reported against the Standard Occupation Classification (SOC) 2020 codes),
- category of apprenticeship,
- planned apprenticeship finish date,
- whether the apprentice is still engaged on Providing the Service and
- national insurance number.

Table 1 – Description of apprenticeship levels

Name	**Level**	**Equivalent educational level**
intermediate	2	5 GCSE passes at grade A*-C or 9-4
advanced	3	2 A level passes/ Level 3 Diploma/ International Baccalaureate
higher	4, 5, 6 and 7	Foundation degree and above
degree	6 and 7	Bachelor's or master's degree

The *Contractor* submits their return using the apprenticeship data collection form (see **Annex 02**).

Highways England Company Limited

Scope

Information Systems & Security

Annex 09

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1	INFORMATION SYSTEMS
1.1	**General Requirement**
1.1.1	This Annex sets out the requirements in respect of Information Systems, including systems that • are developed, procured, provided and made available to the *Client* by the *Contractor* for the purposes of performing the information requirements under the contract, • are developed, procured and provided by the *Contractor* relating to its own corporate business and operations of performing the information requirements under the contract, • are provided or made available by the *Client* for use by the *Contractor* for the purposes of performing the information requirements under the contract and • are likely to be provided or made available by the *Client* for use by the *Contractor* for the purposes of performing the information requirements under the contract.
1.1.2	To the extent that the *Contractor* is required to create or maintain any information under the contract in electronic format, the *Contractor* ensures that, at all times • such a format is agreed with the *Client,* • such information is maintained to allow fast and efficient electronic transfer of information to the *Client* or Others without additional expenditure by the *Client* or Others, or the need for complex or expensive procedures or processes, and in any event in such format as complies with the *Client's* requirements for such transfer, • such information is backed-up and copies are held in off-site storage in accordance with procedures agreed with the *Client* and • it implements and complies with (and ensures that its Sub *Contractor*s implement and comply with) all procedures for information back-up and off-site storage referred to in this paragraph.
1.1.3	The *Contractor* maintains all its Information Systems so as to enable its • segregation from any other computer or electronic storage devices, systems, materials or information of the *Contractor* and

	transfer to the *Client* or an Incoming Consultant, efficiently and without additional expense or delay immediately on termination or expiry of the contract.
1.2	***Contractor* Information Systems**
1.2.1	The *Contractor* at the *starting date* • has in place and provides or makes available to the *Client,* appropriate Information Systems (and relevant hardware required to use such Information Systems) of the type set out in section 1.9, to comply with the *Client* information requirements and the contract management information requirements, • has in place Information Systems (electronic or otherwise) of the type set out in the non-exhaustive list in Table 1, to comply with the *Contractor* information requirements concerning its own corporate business and operations and • has proof of compliance with the HMG Security Policy Framework (SPF) (see link in **Annex 02**) in respect of those Information Systems.
1.3	***Client* Information Systems & Training**
1.3.1	Unless otherwise agreed with the *Client*, the *Contractor* uses and interfaces with the *Client's* current systems (Table 2, in 1.10 below) and new systems (Table 3) when available.
	The *Client* provides relevant training for all relevant systems provided by the *Client* that are listed in this Annex.
	The *Contractor* proposes a list of appropriate Staff to be trained for each requirement for acceptance by the *Client*. The *Contractor* liaises with the Client to programme the training to optimise efficiencies.
1.4	**Access Requirements to Information Systems provided by the *Client***
1.4.1	<u>Gateway access requirements</u> The Business Information Gateway or its successor (the Gateway) is the interface through which • the *Contractor* is required to access the *Client's* business IT network and the Client Information Systems and • the *Client* may access one or more of the *Contractor's* Information Systems and documents.
1.4.2	Unless otherwise agreed with the *Client*, the *Contractor* connects to

	the Gateway, using a virtual private network specified by the *Client*.
1.4.3	The *Contractor* • applies to the *Client* for authorisation to connect to the Gateway and connects to the Gateway in a manner to be specified by the *Client*, • procures and pays for the installation and ongoing costs of connection of any of its premises or Information Systems to the Gateway through a telecommunications network, taking into account the data volume and the number of the *Contractor's* staff that it expects to use the Gateway, • arranges suitable support and business continuity for connection to the Gateway, • facilitates the installation and maintenance of the Gateway by the *Client's* or Other's consultants, • employs appropriate requirements and procedures, and trains its staff to operate the current systems, • attends training in connection with the implementation, and where appropriate, the *Contractor* facilitates the implementation of New Systems and any other systems required by the *Client* and • does not alter any documents provided by the *Client* through the Gateway (which are the exclusive property of the *Client*) without the prior acceptance of the *Client*.
1.4.4	The *Contractor* acknowledges that • the network technology underlying the Gateway is subject to change from time to time, • access through and continued membership of the Gateway depends on the *Contractor* complying with (and the *Contractor* complies with): • applicable user access requirements • Her Majesty's Government Security Policy Framework and • other confidentiality, technical and security requirements set out in the contract.
1.4.5	The connection point to the Gateway situated at the *Contractor's* premises is located in a room that is secured from theft, damage, unauthorised or malicious use to reduce risk to the connection point by using appropriate physical security controls as set out in Her Majesty's Government Security Policy Framework. The location remains fixed for the duration of the contract unless the *Contractor*

	requests and the *Client* approves a new location.
1.4.6	Other access requirements • *Client* Information Systems not covered by clause 1.4.1 may be accessed through the internet via third party hosts and using relevant software applications installed on *Contractor* systems. They are not subject to the same security and related access requirements that apply to *Client* Information Systems accessed through the Gateway. • The *Contractor* may request authorisation and other details regarding Internet access to such *Client* Information Systems from the *Client*. • The *Contractor* ensures that any device which is used to process *Client* data meets all of the security requirements set out in the National Cyber Security Centre (NCSC) "End User Devices Platform Security Guidance."
1.5	**Access Requirements to Information Systems provided by the *Contractor***
1.5.1	The *Contractor* provides the *Client* remote access to the *Contractor's* Information Systems and related documents • through the Gateway; or • through another interface agreed by the *Client*.
1.5.2	Any access required by the *Client* to systems provided by the *Contractor* must be made available via the Gateway or by other remote access methods agreed by the *Client*.
1.6	***Contractor* Security and User Access**
1.6.1	The *Contractor* ensures that all persons who use *Client* Information Systems for or on behalf of the *Contractor* comply with the *Client's* security requirements.
1.6.2	The *Contractor* is responsible for determining any formal application and security clearance requirements to enable the *Client* to access any Information Systems provided by the *Contractor*. The *Contractor* informs the *Client* of those requirements, including timescales, no later than four weeks after the *starting date*.
1.6.3	The *Contractor* immediately notifies the *Client's* IT Security Team and the help desk when staff with access to the *Client's* IT network, leave their employment.
1.6.4	The *Client* suspends any accounts supplied to persons who use

	Client's Information Systems for or on behalf of the *Contractor* if they are not used for a continuous period of six months.
1.6.5	The *Client* deletes any accounts supplied to persons who use *Client* Information Systems for or on behalf of the *Contractor* if they are not used for a continuous period of thirteen months.
1.6.6	The *Client* immediately suspends any accounts supplied to persons who use *Client* Information Systems for or on behalf of the *Contractor* if they are used by anyone other than the person for whom they were created (the "authorised user"), or they are used from a device which is not issued by the *Contractor*, or they are used from a physical location not agreed with the *Client*. Accounts suspended will not be re-opened until a formal explanation for the account's misuse is provided by the *Contractor*, and in all these cases the *Client* is not liable for any financial penalty or other expense incurred as a result of the *Contractor* failing to meet its commitments.
1.7	**Software and Licences**
1.7.1	The *Contractor* grants, or procures the grant of, licences required to allow the *Client* to use the Information Systems developed, procured or otherwise provided by the *Contractor* to the *Client*.
1.7.2	The *Contractor* has in place or procures its own licences required to use common software applications that it may require to be able to interface with, or to access *Client* Information Systems.
1.7.3	The *Contractor* applies to the *Client* for licences to allow the *Contractor* to use certain Information Systems provided or made available by the *Client*.
1.8	**Liaison and cooperation between *Client* and *Contractor***
1.8.1	The *Client* is adopting an Information Technology Infrastructure Library best practice approach for Information Communication and Technology (ICT) services. The *Contractor* demonstrates a formal approach to its ICT service management through the development of an ICT strategy and make its ICT strategy available to the *Client*.
1.9	**Systems provided by the *Contractor* to meet *Client* and Contract Management Information Requirements**
1.9.1	<u>Electronic Document and Records Management</u> The *Contractor* operates an Information System for the management of electronic documents and records (including e-mails) which are created and maintained on behalf of the *Client.* Documents and