

.....
(print name)

in capacity of (e.g. Director, Company Secretary)

.....
(date)



National Highways Limited

Scope

Defined Terms

Annex 01

June 2022

CONTENTS AMENDMENT SHEET

Issue No.	Revision No.	Amendments	Initials	Date
0	0	Tender Issue	JH	June 2022

Ref.	Defined Term	Definition
1	Accredited Scheme(s) or Standard(s) for Managing “Work-Related Road Risk” (WRRR)	<p>means any of the WRRR Standards and Accreditations currently available as set out on the list below (Jan 21) or any revision to this list. Each standard or accreditation is described separately below:</p> <ol style="list-style-type: none"> 1. BS ISO 39001 sets out the requirements for road traffic safety management best practice, overcoming complacency and improving consistency within and across organizations. It provides guidance to help organisations design their own road traffic safety framework – allowing them to bring all relevant controls and processes into one management system. BS ISO 39001 can also be adapted to organisations of all sizes to help them identify threats to road traffic safety and minimize operational risks. The standard is designed to help implement a best practice framework in the organisations – helping them to meet legal, industry and stakeholder requirements and at the same time reducing their impact on communities and the environment. 2. The Fleet Operator Recognition Scheme (FORS) is a voluntary accreditation scheme for fleet operators which aims to raise the level of quality within fleet operations, and to demonstrate which operators are achieving exemplary levels of best practice in safety, efficiency, and environmental protection. 3. The CLOCS Standard is the direct result of collaboration between the construction and fleet sectors to address shared issues. It draws together evolving and applied best practice from a number of standards, policies and codes of practice to provide one industry standard that can be implemented by regulators, clients, principal contractors and fleet operators. 4. Van Excellence is a scheme designed by some of the best van operators in the UK; facilitated and managed by FTA to recognise excellence and improve operational standards. At its heart is the Van Excellence Code which is a Code of Practice outlining 'what good looks like' in van operations.

		<p>With “The Code” established, the scheme has been developed to allow operators to ensure their standards of operation meet the requirements as laid out in the Code, thus enabling them to be recognised as van operators that adhere to a best practice framework. The Client has now developed the support available not only to those seeking or who have gained certification, but to all van operators to ensure they are operating to nationally recognised best practice standards.</p> <p>5. DVSA earned recognition for vehicle operators is a new way to prove an organisation meets driver and vehicle standards. Organisations regularly share performance information with DVSA. In return, their vehicles are less likely to be stopped for inspections. It’s a voluntary scheme that’s designed to work for operators of all sizes.</p>
2	Agreed Sites	the MSA sites that the <i>Contractor</i> can deliver within budget.
3	Black Friday	is an annual retail event usually held at the end of November which results in a large increase in traffic.
4	Category Purchase Agreement	is a contract (including framework agreements and dynamic purchase system) which is established or may be established by the <i>Client</i> for common requirements across its asset management and wider expenditure plan under which the <i>Contractor</i> and Others may enter into contracts with Category Suppliers.
5	Category Supplier(s)	are parties to a Category Purchase Agreement with the <i>Client</i> .
6	Central Government Body	<p>is a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics</p> <ul style="list-style-type: none"> • a Government Department, • a Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal), • a Non-Ministerial Department or • an Executive Agency of one of the above <p>and anybody corporate that is a wholly owned subsidiary of one of the above.</p>

7	Client System	is the <i>Client's</i> computing environment (consisting of hardware, software and telecommunications networks or equipment) used by the <i>Client</i> or the <i>Contractor</i> in connection with the contract, which is owned by the <i>Client</i> or licensed to it by some third party and which interfaces with the Contractor System or which is necessary for the <i>Client</i> to receive the works.
8	Confidential Information	<p>is</p> <ul style="list-style-type: none"> information, including all Personal Data, which (however it is conveyed) is provided by the disclosing Party in connection with the contract that relates to <ul style="list-style-type: none"> the Disclosing Party Group or the operations, business, affairs, developments, Intellectual Property Rights, trade secrets, know-how and personnel of the Disclosing Party Group, other information provided by the disclosing Party in accordance with the contract that is clearly designated as being confidential or equivalent, or that ought reasonably to be considered to be confidential (whether or not it is so marked) which comes (or has come) to the Recipient's attention or into the Recipient's possession in connection with the contract, discussions, negotiations, and correspondence between the disclosing Party or any of its directors, officers, employees, consultants or professional advisers and the Recipient or any of its directors, officers, employees, consultants and professional advisers in connection with the contract and all matters arising therefrom; and information derived from any of the above, <p>but not including any information which</p> <ul style="list-style-type: none"> was in the possession of the Recipient without obligation of confidentiality prior to its disclosure by the disclosing Party, the Recipient obtained on a non-confidential basis from a third party who is not, to the Recipient's knowledge or belief, bound by a confidentiality agreement with the disclosing Party or otherwise prohibited from disclosing the information to the Recipient, was already generally available and in the public domain at the time of disclosure otherwise than by a breach of the contract or breach of a duty of confidentiality or

		<ul style="list-style-type: none"> was independently developed without access to the Confidential Information.
9	Contracts Finder	is the government website for information about contracts worth over £25,000 with the government and its agencies. (see link in Annex 02)
10	Contractor Background IPR	is IPR owned by the <i>Contractor</i> or a third party before the Contract Date or created by the <i>Contractor</i> or a third party independently of the contract, which is, or will be, used before or after the <i>defects date</i> for, Providing the Service (including its design, testing, implementation), its maintenance operation and improvement, but excluding IPRs owned by the <i>Contractor</i> and subsisting in the Contractor Software or by any third party in Third Party Software.
11	Contractor Equipment	is the hardware, computer and telecoms devices and equipment used by the <i>Contractor</i> or its subcontractors (or any subcontractor of any tier to the <i>Contractor</i>) (but not hired, leased or loaned from the <i>Client</i>) for the Providing the Works.
12	Construction Compliance Certificate	is as per the meaning in “BD2/12 Technical Approval of Highways Structure (Volume 1, Section 1 of the Design Manual for Roads and Bridges)”.
13	Corrective Action	has the meaning given in BS EN ISO 9000:2015.
14	Cyber Monday	is an annual online retail event usually held at the end of November or early December which results in an increase in traffic due to large volumes of goods being delivered.
15	Data	is all Personal Data collected, generated or otherwise processed by the <i>Contractor</i> in the course of Providing the Works.
16	Data Controller	is a legal person that determines the purposes and means of the processing of Personal Data.
17	Data Loss Event	is any event that results, or may result, in unauthorised access to Personal Data held by the Processor for the purposes of this contract, and/or actual or potential and/or destruction of Personal Data in breach of this Agreement, including any Personal Data breach.
18	Data Protection Impact Assessment	is an assessment by the [Data Controller/ Joint Data Controller] of the impact of the envisaged processing of Personal Data on the rights of a Data Subject(s).

19	Data Subject	is an individual who is the subject of Personal Data.
20	Data Subject Access Request	<p>is a request made by, or on behalf of, a Data Subject concerning their</p> <ul style="list-style-type: none"> • rights of access to, and information relating to, Data, • rectification of inaccurate Data, • permanent erasure of Data, • objection to or restriction of processing of Data pursuant to the Data Protection Legislation, and • transfer of Data to a third party.
21	Disclosure Request	is a request for information relating to the contract and received by the <i>Client</i> pursuant to the Freedom of Information Act 2000 and Environmental Information Regulations 2004 or otherwise.
22	Discrimination Acts	are the Equality Act 2010 and any predecessor statutes.
23	Documentation	<p>is descriptions of the <i>works</i>, the <i>Contractor's</i> service solution, performance measures, details of the Contractor System (including (i) vendors and versions for off-the-shelf components and (ii) source code and build information for proprietary components), relevant design and development information, technical specifications of all functionality including those not included in standard manuals (such as those that modify system performance and access levels), configuration details, test scripts, user manuals, operating manuals, process definitions and procedures, and all such other documentation as</p> <ul style="list-style-type: none"> • is required to be supplied by the <i>Contractor</i> to the <i>Project Manager</i> under the contract, • would reasonably be required by a competent third party capable of Good Industry Practice, contracted by the <i>Client</i> to develop, configure, build, deploy, run, maintain, upgrade and test the individual systems that provide the <i>works</i> or make use of the <i>works</i>, • is required by the <i>Contractor</i> in order to Provide the Works and • has been or is generated in order to Provide the Works.
24	EEA	is the European Economic Area.
25	Information Systems	can be a combination of hardware, software, infrastructure and trained personnel organised to facilitate planning, control, coordination and decision making in an organisation.

26	List X	List X contractors are companies operating in the UK who are working on UK government contracts which require them to hold classified information. This information is at 'Secret' level or above or international partners information classified 'Confidential' or above, and is held in their own premises at a specific site. Classified information levels can be reviewed in the Gov website (https://www.gov.uk/government/publications/security-requirements-for-list-x-contractors).
27	Mechanical Completion	when the ESS is complete including load testing but less the integration with the HPEVCP.
28	MSA Operator	is the company running the Motorway Services Area.
29	Nonconformity	has the meaning given to it in BE EN ISO 9000:2015 (and includes Defects).
30	Performance Level	is the performance level of the Collaborative Performance Framework stated in Scope section S 635.
31	Personal Data	is any data relating to an identified or identifiable natural individual that is within the scope of protection as "personal data" under the Data Protection Legislation.
32	Processor	is a legal person which processes Personal Data on behalf of a [Data Controller/ Joint Data Controller].
33	Protective Measures	<p>are appropriate, technical and organisational measures implemented, consistent with good industry practice, to ensure a level of security appropriate to the risk posed by Personal Data, taking into account the state of the art, the costs of implementing, the harm that might result from a Security Incident, and which may include</p> <ul style="list-style-type: none"> • pseudonymising and encrypting Personal Data, • ensuring confidentiality, • integrity, • availability and resilience of systems and services, • ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and • regularly assessing and evaluating the effectiveness of such measures adopted by it including those outlined in "Procurement Policy Note 02/18 Changes to Data Protection Legislation and General Data Protection Regulation" (PPN 02/18) (see link in Annex 02).

34	Quality Submission	is the <i>quality submission</i> unless later changed in accordance with these <i>conditions of contract</i> , detailing the commitments made by the <i>Contractor</i> as part of its tender in respect of how it is to perform its obligations under the contract.
35	Quality Warning Notice	is a warning given in accordance with section S 620 of the Scope.
36	Relevant IPR	is IPRs used to Provide the Service or as otherwise provided and licensed by the <i>Contractor</i> (or to which the <i>Contractor</i> has provided access) to the <i>Client</i> or a third party, in the fulfilment of the <i>Contractor's</i> obligations under the contract, including IPRs in the Specially Written Software, the Contractor Software, the Contractor Background IPRs and the Third Party Software, but excluding any IPRs in the Client Software and the Client Background IPRs.
37	Relevant Subcontractor	is a Subcontractor or subcontractors (at any stage of remoteness from the <i>Client</i>) appointed under a Relevant Subcontract.
38	Road Period	is in relation to a particular Road Investment Strategy, the period to which that strategy relates, as outlined in the contract.
39	Security Incident	is a breach of security leading that results, or may result in, to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, Data.
40	SME	means an enterprise within the category of small, medium or micro enterprises defined by the European Commission Recommendation of 6 May 2003 (see link in Annex 02) concerning the definition of small, medium or micro enterprises. A SME is a Subcontractor or a subcontractor to a Subcontractor and is autonomous and is a European Union enterprise not owned or controlled by a non-European Union parent company.
41	Specification	is the Specification for Highway Works (SHW).
42	Structured Innovation	is a unique, rigorous and powerful toolbox of techniques that can be applied to ensure that all potential areas of innovation are explored when seeking solutions to a problem. The tool-box of techniques has been developed

		from the Russian Theory of Inventive Problem Solving (TRIZ).
43	Sub-Processor	is a third party (including an Associated Company) engaged by the <i>Contractor</i> to process Data.
44	Supervisory Authority	is any regulatory, supervisory, governmental or other competent authority with jurisdiction or oversight over the Data Protection Legislation.



National Highways Limited

Scope

Reference Documents

Annex 02

June 2022

CONTENTS AMENDMENT SHEET

Issue. No.	Revision No.	Amendments	Initials	Date
0	0	Tender issue	JH	June 2022

Rf	Document Name	Published by / Available from
1	A guide to apprenticeships – March 2019	https://www.gov.uk/government/publications/a-guide-to-apprenticeships
2	Air Quality Strategy	https://www.gov.uk/government/publications/highways-england-air-quality-strategy
3	Anti Slavery (human trafficking) policy	See folder in E-TENDERING SYSTEM
4	Apprenticeship data collection form	See folder in E-TENDERING SYSTEM
5	Apprenticeship standard	https://www.instituteforapprenticeships.org/apprenticeship-standards/
6	Baseline Personnel Security Standard (BPSS) Form and guidance	See folder in E-TENDERING SYSTEM
7	Benefits Realisation Capture Forms	https://kol.withbc.com/HA-Lean/
8	Bribery Act 2010	https://www.legislation.gov.uk/ukpga/1998/23/contents
9	BS EN 54 – Fire Detection and Fire Alarm Systems	Search BSI Standards (bsigroup.com)
10	BS EN 1990:2002+A1:2005	https://shop.bsigroup.com/ProductDetail?pid=000000000030145246
11	BS EN ISO 9000	https://www.iso.org/standard/45481.html
12	BS EN ISO 9001	https://www.iso.org/standard/62085.html
13	BS EN ISO 9004	https://www.iso.org/standard/41014.html
14	BS EN 60529 - Degrees of Protection Provided by Enclosures (IP Code)	Search results BSI (bsigroup.com)
15	BS EN 50549 - Requirements for generating plants to be connected in parallel with distribution networks -	Search results BSI (bsigroup.com)

Rf	Document Name	Published by / Available from
	Connection to a LV distribution network.	
16	BS EN 61439 - Low-voltage switchgear and control gear assemblies	Search results BSI (bsigroup.com)
17	BS 7430 - Code of practice for protective earthing of electrical installations	BS 7430:2011 Code of practice for protective earthing of electrical installations, British Standards Institution - Publication Index NBS (thenbs.com)
18	BS 7671 - Requirements for electrical installations (18 th Edition)	BS 7671 - 18th Edition - IET Wiring Regulations (theiet.org)
19	BS 5839 - Fire detection & alarm systems for buildings	BS 5839-6 Fire detection and fire alarm systems for buildings BSI (bsigroup.com)
20	BS 5306 - Fire extinguishing installations	Search results BSI (bsigroup.com)
21	Cabinet Office Freedom of Information Code of Practice	https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/744071/CoP_FOI_Code_of_Practice_-_Minor_Amendments_20180926_.pdf
22	Carbon Emissions Calculation Tool and Guidance ("Carbon Tool")	https://nationalhighways.co.uk/industry/carbon-emissions-calculation-tool/
23	CLOCS	https://www.clocs.org.uk/page/clocs-standard
24	Collaborative Performance Framework (CPF)	See folder in E-TENDERING SYSTEM
25	Commercial reporting and monitoring system	https://supplychainportal.highways.gov.uk/commperf/SitePages/Home.aspx
26	Common intent documents	http://www.highwayssafetyhub.com/search-results.html?q=common%20intent Link for the Highways Safety Hub generally: http://www.highwayssafetyhub.com/
27	Companies Act 2006	Companies Act 2006 (legislation.gov.uk)

Rf	Document Name	Published by / Available from
28	Complaints procedure	See folder in E-TENDERING SYSTEM
29	Conflict of interest form	See folder in E-TENDERING SYSTEM
30	Considerate Constructor Scheme's Code of Considerate Practice	https://www.ccscheme.org.uk/ccs-ltd/code-of-considerate-practice-2/#:~:text=Considerate%20constructors%20seek%20to%20improve%20the%20image%20of,parts%20and%20contains%20a%20series%20of%20bullet%20points
31	Construction (Design and Management) Regulations 2015	http://www.legislation.gov.uk/ukxi/2015/51/contents/made
32	Construction Compliance Certificate	<p>This requires access to the Supply Chain Portal. To request an account, contact: Digital.Communications@highwaysengland.co.uk</p> <p>https://supplychainportal.highwaysengland.co.uk/</p> <p>Link to template certificate: https://highways.sharepoint.com/sites/SupplyChainPortal/Major-Projects-Project-Control-Framework/SitePages/Stage-6--Construction,-Commissioning-&-Handover.aspx</p>
33	Contracts Finder	https://www.gov.uk/contracts-finder
34	Counter Fraud, Bribery and Corruption Code of Conduct	See folder in E-TENDERING SYSTEM
35	Customer Service Strategic Plan	See folder in E-TENDERING SYSTEM
36	Customer Service Strategy	See folder in E-TENDERING SYSTEM

Rf	Document Name	Published by / Available from
37	Data handling policy	See folder in E-TENDERING SYSTEM
38	Data Protection Act 2018	https://www.gov.uk/government/publications/data-protection-bill-general-processing
39	Data Protection Legislation	http://www.legislation.gov.uk/ukpga/2018/12/contents/enacted
40	Delivery Plan	https://www.gov.uk/government/publications/highways-england-delivery-plan-2020-2025
41	Department for transport's <i>Road to Zero Strategy</i> and subsequent " <i>Decarbonising Transport: A better, greener Britain</i> "	https://www.gov.uk/government/publications/transport-decarbonisation-plan
42	Design Manual for Roads and Bridges (DMRB)	http://www.standardsforhighways.co.uk/ha/standards/dmr/index.htm
43	Dignity at Work Policy	See folder in E-TENDERING SYSTEM
44	Directive 2012/27/EU of the European Parliament and of the Council	http://www.legislation.gov.uk/eudr/2012/27/article/6
45	Disclosure and Barring Service	https://www.gov.uk/government/organizations/disclosure-and-barring-service/about
46	Disclosure Requests legislation	<ul style="list-style-type: none"> – Freedom of Information Act 2000: http://www.legislation.gov.uk/ukpga/2000/36/contents – Environmental Information Regulations 2004: http://www.legislation.gov.uk/uksi/2004/3391/contents/made – Public Interest Disclosure Act 1998: http://www.legislation.gov.uk/ukpga/1998/23/contents – Procurement Policy Note (PPN) 01/17 Update to the Transparency

Rf	Document Name	Published by / Available from
		<p>Principles 16 February 2017 or later revision or replacement:</p> <p>https://www.gov.uk/government/publications/procurement-policy-note-0117-update-to-transparency-principles</p> <ul style="list-style-type: none"> – Procurement Policy Note 02/17 Promoting Greater Transparency: https://www.gov.uk/government/publications/procurement-policy-note-0217-promoting-greater-transparency – Crown Commercial Services Guidance Note “Publication of Central Government Tenders and Contracts” November 2017 or later revision or replacement: https://www.gov.uk/government/publications/procurement-and-contracting-transparency-requirements-guidance
47	Driving for Better Business	https://www.drivingforbetterbusiness.com/
48	Efficiency Register (National Highways template V14)	See folder in E-TENDERING SYSTEM
49	Employment and Skills Plan (ESP)	See folder in E-TENDERING SYSTEM (Content for ESP has been detailed in Annex 06 People Strategy.)
50	Energy Networks Association Engineering Recommendation G99	Energy Networks Association (ENA) - The voice of the networks
51	ENA EREC G100 - Technical Requirements for Customer Export Limiting Schemes	ENA EREC G100 (energynetworks.org)

Rf	Document Name	Published by / Available from
52	Environmental Management Plan (LA120)	LA 120 - Environmental management plans - DMRB (standardsforhighways.co.uk)
53	Environmental Permitting (England and Wales) Regulations 2010	https://www.legislation.gov.uk/ukdsi/2010/9780111491423/contents
54	Equality Act 2010	http://www.legislation.gov.uk/ukpga/2010/15/contents
55	EU Settlement Scheme	https://www.gov.uk/settled-status-eu-citizens-families
56	European Commission Recommendation of 6 May 2003	https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2003:124:0036:0041:EN:PDF#:~:text=COMMISSION%20COMMISSION%20RECOMMENDATION%20of%206%20May%202003%20concerning,Having%20regard%20to%20the%20Treaty%20establishing%20the%20European
57	Fair Payment Charter	See folder in E-TENDERING SYSTEM
58	Fire Industry Association – Guidance on Li Ion Battery Fires	https://www.fia.uk.com/news/guidance-on-li-ion-battery-fires.html
59	Freedom of Information Act 2000 or later revision or replacement.	http://www.legislation.gov.uk/ukpga/2000/36/contents
60	General Data Protection Regulation (EU2016/679)	https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32016R0679&from=EN
61	General Guidance 103 (GG103) - "Introduction and general requirements for sustainable development and design"	http://www.highwayssafetyhub.com/uploads/5/1/2/9/51294565/gg_103_introduction_and_general_requirements_for_sustainable_development_and_design-web.pdf

Rf	Document Name	Published by / Available from
62	General Guidance 105 (GG105) - asbestos management	https://www.standardsforhighways.co.uk/prod/attachments/9f7803ca-26aa-49bd-98f8-c514ab051040
63	General Guidance 128 (GG128) - Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental	https://www.standardsforhighways.co.uk/prod/attachments/2995a4fe-8faf-4e65-8ce8-b6b8bf416e74
64	Government Buying Standards	https://www.gov.uk/government/collect/sustainable-procurement-the-government-buying-standards-gbs
65	Government Buying Standards for Transport 2017	https://www.gov.uk/government/publications/sustainable-procurement-the-gbs-for-transport-vehicles/government-buying-standards-for-transport-2017
66	Government vision for the rapid charge point network in England, published May 2020	https://www.gov.uk/government/publications/government-vision-for-the-rapid-chargepoint-network-in-england/government-vision-for-the-rapid-chargepoint-network-in-england
67	The Grid Code - technical requirements for connecting to and using the National Electricity Transmission System (NETS)	42549-How to connect to the National Electricity Transmission System - FINAL.pdf (nationalgrid.com)
68	Health and Safety Executive Guidance L153	Construction (Design and Management) Regulations 2015 (hse.gov.uk)
69	Health and Safety at Work Act 1974	https://www.legislation.gov.uk/ukpga/1974/37
70	Health and Safety Management System and the associated policies and procedures	http://www.highwayssafetyhub.com/
71	Health and safety policies, procedures, and guidance notes (generally)	http://www.highwayssafetyhub.com/
72	Highways England BPSS Privacy Notice	See folder in E-TENDERING SYSTEM

Rf	Document Name	Published by / Available from
73	HMG Baseline Personnel Security Standard v6.0 - May 2018	https://www.gov.uk/government/publications/government-baseline-personnel-security-standard
74	HMG Government Security Classifications	https://assets.publishing.Works.gov.uk/government/uploads/system/uploads/attachment_data/file/715778/May-2018_Government-Security-Classifications-2.pdf (As issued in May 2018 or any later revision or replacement.)
75	HMG Security Policy Framework version 1.1 – May 2018	https://www.gov.uk/government/publications/security-policy-framework (As issued in May 2018 or any later revision or replacement.)
76	Home Safe and Well approach	https://assets.highwaysengland.co.uk/about-us/Home+Safe+and+Well+Strategy+2019.pdf
77	Housing Grants, Construction and Regeneration Act 1996 (as amended)	https://www.legislation.gov.uk/ukpga/1996/53/contents
78	HSG65 - Managing for Health and Safety	https://www.hse.gov.uk/pubns/books/hsg65.htm
79	Inclusion Action Plan (IAP) template	See folder in E-TENDERING SYSTEM (Template provided in Annex 06 People Strategy.)
80	Information Management System	https://highwaysengland.co.uk/ims
81	Information Security Secure Data Handling Requirements (Policy)	See folder in E-TENDERING SYSTEM
82	Information Security Incident Management Requirements July 2019 or any later revision or replacement	See folder in E-TENDERING SYSTEM

Rf	Document Name	Published by / Available from
83	IET Code of Practice for Electrical Energy Storage Systems, 2nd Edition	The IET Shop - Code of Practice for Electrical Energy Storage Systems, 2nd Edition
84	Institution of Occupational Safety and Health (IOSH)	https://www.iosh.com/
85	ISO 14001	https://www.iso.org/standard/60857.html
86	ISO 22301:2019	https://www.iso.org/standard/75106.html
87	ISO/IEC27001	ISO - ISO/IEC 27001 — Information security management
88	ISO/IEC27002	ISO/IEC 27002:2013(en), Information technology — Security techniques — Code of practice for information security controls
89	ISO 39001	https://www.bsigroup.com/en-GB/iso-39001-road-traffic-safety/Introduction-to-BS-ISO-39001-/
90	ISO 44000	https://www.iso.org/standard/72800.html
91	ISO 44001	https://www.iso.org/standard/72798.html
92	ISO 45001:2018	https://www.iso.org/iso-45001-occupational-health-and-safety.html
93	IT Security Advice Team	ITSecurityAdvice@highwaysengland.co.uk
94	LA 110 Material assets and waste	https://www.standardsforhighways.co.uk/dmrp/search/6a19a7d4-2596-490d-b17b-4c9e570339e9
95	LD 117 Landscape Design	https://www.standardsforhighways.co.uk/dmrp/search/82073bde-ec0c-4d4f-8eeb-afe0ace3c639
96	LD 118 Biodiversity Design	https://www.standardsforhighways.co.uk/dmrp/search/9317652b-4cb8-4aaf-be57-b96d324c8965

Rf	Document Name	Published by / Available from
97	Lessons Learnt documents	https://www.highwayssafetyhub.com/toolkit.html
98	List X	https://www.gov.uk/government/publications/security-requirements-for-list-x-contractors
99	Management of Road Risk – industry guidance	https://www.hse.gov.uk/pubns/indg382.htm
100	Manual of Contract Documents for Highway Works (MCHW)	https://www.standardsforhighways.co.uk/ha/standards/mchw/index.htm
101	Material assets and waste LA110	LA 110 - Material assets and waste - DMRB (standardsforhighways.co.uk)
102	Modern Slavery Act 2015	http://www.legislation.gov.uk/ukpga/2015/30/contents/enacted
103	Modern Slavery Helpline	https://www.modernslaveryhelpline.org/report Telephone: 08000 121 700
104	National Audit Act 1983	https://www.legislation.gov.uk/ukpga/1983/44/contents
105	National Cyber Security Centre End user device (EUD) security guidance	https://www.ncsc.gov.uk/guidance/end-user-device-security
106	National Examination Board in Occupational Safety and Health (NEBOSH) Construction Certificate	https://www.nebosh.org.uk/home/
107	National Insurance Contributions (Application of Part 7 of the Finance Act 2004) Regulations 2012 (SI 2012/1868)	https://www.legislation.gov.uk/uksi/2012/1868/contents/made
108	National Security Vetting	United Kingdom Security Vetting - GOV.UK (www.gov.uk)
109	National Skills Academy for Construction	https://www.citb.co.uk/standards-and-delivering-training/national-skills-academy-for-construction/

Rf	Document Name	Published by / Available from
110	Net zero carbon management plan	https://highwaysengland.co.uk/netzero/highways/#plan
111	Occupational descriptors	See folder in E-TENDERING SYSTEM
112	Official Secrets Acts	Official Secrets Act 1989 (legislation.gov.uk)
113	OHSAS18001:2007	https://www.bsigroup.com/en-GB/ohsas-18001-occupational-health-and-safety/
114	Operational Metric Manual	https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/775149/Operational_Metrics_Manual.pdf
115	Part II – The Verification Process of the HMG Baseline Personnel Security Standard (BPSS)	https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/714002/HMG_Baseline_Personnel_Security_Standard_-_May_2018.pdf
116	Part IV – Post Verification Process of the HMG BPSS	https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/714002/HMG_Baseline_Personnel_Security_Standard_-_May_2018.pdf
117	Passport Scheme	https://www.highwayssafetyhub.com/passport-scheme.html
118	PBA Web Portal	For registration and guidance contact CommercialCostIntelligenceInbox@highwaysengland.co.uk
119	Procurement Policy Note (PPN) 01/17 Update to the Transparency Principles 16 February 2017 or later revision or replacement.	https://www.gov.uk/government/publications/procurement-policy-note-0117-update-to-transparency-principles
120	Procurement Policy Note (PPN) 01/18 "Supply Chain Visibility"	https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/698482/PPN_01

Rf	Document Name	Published by / Available from
		18 Contract Condition for Subcontracting Supply chain spend on CF final .docx.pdf
121	Procurement Policy Note (PPN) 07/14 entitled "Implementing Article 6 of the Energy Efficiency Directive" (including supplementary guidance PPN 01/15: implementing energy efficiency directive article 6: further information)	https://www.gov.uk/government/publications/procurement-policy-note-0714-implementing-energy-efficiency-directive-article-6
122	Publication of Central Government Tenders and Contracts dated November 2017	Microsoft Word - Guidance Publication of New Central Government Tender documents and Contracts 2017 (1).docx (publishing.service.gov.uk)
123	Public Contracts Regulations 2015	https://www.legislation.gov.uk/ukxi/2015/102/contents/made
124	Public Procurement Review Service (formerly known as the Mystery Shopper Service), Government's	https://www.gov.uk/government/publications/public-procurement-review-service-scope-and-remit
125	Raising the Bar initiative	https://www.gov.uk/government/collections/health-and-safety-for-major-road-schemes-raising-the-bar-initiative
126	Recruiting for Success	See folder in E-TENDERING SYSTEM
127	The Regulatory Reform (Fire Safety) Order 2005, No. 1541, UK Parliament.	The Regulatory Reform (Fire Safety) Order 2005 (legislation.gov.uk)
128	Rehabilitation of Offender Act 1974	http://www.legislation.gov.uk/ukpga/1974/53
129	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013	https://www.hse.gov.uk/riddor/
130	Respect at Work policy	See folder in E-TENDERING SYSTEM
131	Risk Management Policy and Strategy	See folder in E-TENDERING SYSTEM

Rf	Document Name	Published by / Available from
132	Risk Register template	See folder in E-TENDERING SYSTEM
133	Roadworks - a Customer's View including Roadworks: a Customer View Implementation Toolkit	See folder in E-TENDERING SYSTEM
134	Security Incident management process	See folder in E-TENDERING SYSTEM
135	Security Policy 3: Personnel Security	https://webarchive.nationalarchives.gov.uk/+/http://www.cabinetoffice.gov.uk/spf/sp3_ps.aspx
136	Security Team email	securityteam@highwaysengland.co.uk
137	Shared Apprenticeship Schemes	https://sharedapprentice.org
138	SI 2006 No. 3418 UK EMC Regulations	https://www.legislation.gov.uk/uksi/2006/3418/pdfs/uksi_20063418_en.pdf
139	Standard Occupation Classification (SOC) 2020	https://www.ons.gov.uk/methodology/classificationsandstandards/standardoccupationalclassification/soc
140	Strategic Business Plan	https://highwaysengland.co.uk/strategic-business-plan/
141	Supply Chain Maturity Matrix (SCMM)	https://forms.office.com/Pages/ResponsePage.aspx?id=sp9QKa9_i0-3ojL5bsXebHFfJXx2Qe1DkpcsyvizgyFUQVIFUzREWTJLQ0tBSDUxMURKV1VTMDBSSyQIQCN0PWcu
142	Supply Chain Maturity Matrix (SCMM) Action Plan template	See folder in E-TENDERING SYSTEM
143	Supply Chain Maturity Matrix (SCMM) Process	See folder in E-TENDERING SYSTEM
144	Supply Chain Portal	https://highways.sharepoint.com/sites/SupplyChainPortal/SitePages/Home.aspx

Rf	Document Name	Published by / Available from
		To request an account, contact: Digital.Communications@highwaysengland.co.uk
145	Sustainable Development Strategy	https://www.gov.uk/government/publications/highways-england-sustainable-development-strategy
146	Taking over certificate	See folder in E-TENDERING SYSTEM
147	Town and Country Planning Act (1990)	https://www.legislation.gov.uk/ukpga/1990/8/contents
148	Traffic Signs Manuals	https://www.gov.uk/government/publications/traffic-signs-manual
149	Transport Infrastructure Efficiency Strategy	https://www.gov.uk/government/publications/transport-infrastructure-efficiency-strategy
150	Transport Infrastructure Skills Strategy: building sustainable skills	https://www.gov.uk/government/publications/transport-infrastructure-skills-strategy-building-sustainable-skills
151	Treaty on the Functioning of the European Union (TFEU) Document 12012E/TXT	https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A12012E%2FTXT
152	UKAS	https://www.ukas.com
153	Van Excellence	http://www.vanexcellence.co.uk/about/what-is-van-excellence.html
154	Work Breakdown Structure (WBS)	See folder in E-TENDERING SYSTEM



National Highways Limited

Contract for Motorway Service Areas Energy Storage Systems

ECC Scope

Baseline Personnel Security Standard (BPSS) - Form and guidance

Annex 04

June 2022

CONTENTS AMENDMENT SHEET

Issue. No.	Revision No.	Amendments	Initials	Date
0	0	Tender issue	JH	June 2022

LIST OF CONTENTS

**1 BASELINE PERSONNEL SECURITY STANDARD (BPSS) FORM AND
GUIDANCE4**

1 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 *Project Manager*. 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).

There may be some circumstances where BPSS is not required, for example, where individuals do not enter the *Client's* property and have no access to the *Client's* asset (data and information).

The *Client* also operates an electronic vetting approved list, where some companies are given the *Client's* agreement to undertake BPSS checks on behalf of the *Client*. If the applicant works for a company on the *Client's* electronic vetting approved list, it may not be necessary to complete this BPSS application.

If you need any advice on this, please contact the [Security Team](#) on SecurityTeam@highwaysengland.co.uk.

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 National Highways' 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 cybersecurity@highwaysengland.co.uk 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 National Highways place of work:	
Prospective start date:	
Position:	<i>Contractor</i>

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 (references must be sent with this form to the *Client's* Security Team):

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 (references must be sent with this form to the *Client's* Security Team):

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 [National Highways 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](#) (see link in **Annex 02**) 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.

If EU nationals are living in the UK by 31st December 2020, they can apply to the [EU Settlement Scheme](#) to continue living in the UK after 30th June 2021. If and EU national has come to the UK on or after 1st January 2021, they may need to apply for a visa.

EU nationals and nationals of Switzerland who receive settled or pre-settled status under the EU Settlement Scheme have the right to work in the UK. EU nationals include nationals of

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



National Highways Limited

Contract for Motorway Service Areas Energy Storage Systems

ECC Scope

People Strategy

Annex 06

June 2022

CONTENTS AMENDMENT SHEET

Issue. No.	Revision No.	Amendments	Initials	Date
0	0	Tender issue	JH	June 2022

Additional Guidance

This guidance has been prepared to assist the *Client* and its supply chain (at any stage of remoteness from the *Client*) as users of the Inclusion Action Plan (IAP).

The guidance explains the wider context of the IAP and its use, including further information from the *Client's* subject matter expert.

Contents

Additional Guidance.....	3
Measure Overview	5
Introduction.....	5
Intended Outcomes	5
Methodology	5
Inclusion Action Plan.....	9
Scope and Methodology	9
Inclusion Action Plan Template	10
Inclusion Action Plan Scores	12

Measure Overview

Introduction

The *Client* is determined, for business, legal and ethical reasons, to increase its equality, diversity and inclusion (EDI) provisions in all areas of its business. See “Highways England’s Public Sector Equality Duty” (see link in **Annex 02**) which sets out its objectives for achieving this.

Intended Outcomes

The intent of this measure is to improve equality, inclusion and diversity, leading to better experiences for the workforce and delivery of a better-quality service to the *Client*’s diverse customers and communities.

This will enable the *Client* and its supply chain to identify and deliver opportunities to make a difference in the three priority performance areas to

- create an inclusive working culture, practices and environment that enable everyone to perform to their full potential,
- consider and meet the diverse needs of customers and neighbouring communities at all stages of the framework/ scheme and
- develop wider supply chain capability around EDI.

Methodology

The *Contractor* gathers intelligence and evidence to identify opportunities

- i) to create an inclusive working culture and develop a diverse workforce,
- ii) to deliver a more socially sensitive and responsive strategic road network and be a better neighbour to communities impacted by the contract, in particular those who are vulnerable because of a protected characteristic and
- iii) on how EDI is governed including the supply chain that demonstrates how progress is being measured and monitored.

This intelligence and evidence should be used to identify the current position in the IAP.

Examples of good and robust evidence and actions are given within the “Potential sources of evidence and activity” pages overleaf.

Within 3 months from the commencement of the contract or acceptance on to the framework, the *Contractor*

- gathers baseline intelligence,
- analyses this intelligence to identify actions and
- develops an evidence based IAP.

Potential sources of evidence and activity

CPF score	CPF score guidance	Working culture	Customer and community	Governance
6	An intelligence based IAP is in place which is being fully implemented and up to date.	<p>Evidence of</p> <ul style="list-style-type: none"> monitoring use of/ outcomes in relation to Human Resources (HR) policies and procedures e.g. bullying/ harassment, grievance etc., reasonable adjustments, wellbeing initiatives, use of Performance Development Plans (PDP)/ appraisals, EDI training for all Staff, active promotion of flexible/ agile working, Staff networks, range of accessible learning in place, talent management/ developing Staff e.g. mentoring and coaching schemes and the impact of these, support for those on career breaks and returners and annual workforce and Staff engagement data analysis and review with actions taken and outcomes arising out of these. 	<p>Evidence of</p> <ul style="list-style-type: none"> disaggregation of data against protected characteristics/ affected groups. Actions identified to address negative impacts (as found in the Equality Impact Assessment (EQIA) where applicable), use of diverse and accessible communication channels and monitoring the satisfaction and effectiveness of these, use of diverse and accessible engagement activities and monitoring the satisfaction and effectiveness of these, face to face liaison with voluntary sector and minority groups, Staff training on understanding diverse needs and feedback to consultees. 	<p>Evidence of</p> <ul style="list-style-type: none"> leadership and governance meetings where EDI is discussed, public commitment to and leadership accountability for EDI, EDI strategy with actions and outcomes, reporting structure, EDI Key Performance Indicators (KPIs) and monitoring of progress. procurement processes include EDI, <i>Contractor</i> meetings where EDI is discussed, EDI development initiatives for supply chain and how they are supporting the <i>Client</i> in meeting its EDI objectives.
8	There is evidence that ongoing actions arising from	<p>Evidence of</p> <ul style="list-style-type: none"> employment policies have EDI woven through them, 	<p>Evidence of</p> <ul style="list-style-type: none"> use of other data e.g. public health, trip attractors and 	<p>Evidence of</p>

	the IAP are driving change and making a difference.	<ul style="list-style-type: none"> engagement survey findings are broken down into the protected characteristics and actions arise out of results, Staff networks are empowered and driving change, measurement of the effectiveness of EDI training, monitoring of flexible/ part time working, analysis of exit data and actions in place to address issues, examples of collaboration and sharing of good practice, monitoring of training for effectiveness, robust analysis in relation to things such as pay and grading, promotions, learning and development and exit data including breaking data down against the protected characteristics and uses data to drive strategy and actions taken to address any issues. 	<p>labour market to inform actions,</p> <ul style="list-style-type: none"> the involvement of diverse groups, monitoring the satisfaction with and effectiveness of communication channels, evidence of shared learning, cycle of direct and regular contact with diverse groups and review of the effectiveness/ satisfaction of these activities, learning shared across peers and down the supply chain and legacy arrangements. 	<ul style="list-style-type: none"> collaboration across the supply chain in delivering EDI objectives and actions, outcomes achieved, benchmarking EDI activity against comparable organisations where progress is measured, monitoring across the supply chain, EDI KPIs for the supply chain where it uses its own data to drive improvements for change in their businesses and rewards for difference made.
10	There is evidence of actions driving change and making a quantifiable difference and that this good practice is being shared	<p>Evidence of</p> <ul style="list-style-type: none"> employment policies have EDI woven through them, engagement survey findings are broken down into the protected characteristics and actions arise out of results, 	<p>Evidence of</p> <ul style="list-style-type: none"> use of other data e.g. public health, trip attractors and labour market to inform actions, the involvement of diverse groups, 	<p>Evidence of</p> <ul style="list-style-type: none"> collaboration across the supply chain in delivering EDI objectives and actions, outcomes achieved, benchmarking EDI activity against comparable

	across the business and down the supply chain (where applicable)	<ul style="list-style-type: none"> • Staff networks are empowered and driving change, • measurement of the effectiveness of EDI training, • monitoring of flexible/ part time working, • analysis of exit data and actions in place to address issues, • examples of collaboration and sharing of good practice, • monitoring of training for effectiveness, • robust analysis in relation to things such as pay and grading, promotions, learning and development and exit data including breaking data down against the protected characteristics and • uses data to drive strategy and actions taken to address any issues. 	<ul style="list-style-type: none"> • monitoring the satisfaction with and effectiveness of communication channels, • shared learning, • cycle of direct and regular contact with diverse groups and review of the effectiveness/ satisfaction of these activities, • learning shared across peers and down the supply chain and • legacy arrangements. 	<p>organisations where progress is measured,</p> <ul style="list-style-type: none"> • monitoring across the supply chain, • EDI KPIs for the supply chain where it uses its own data to drive improvements for change in their businesses and • rewards for difference made.
--	--	--	---	---

Inclusion Action Plan

Scope and Methodology

Throughout the life of the contract an evidence-based IAP is developed.

This will include steps and actions to

- create a working environment that enables Staff to perform to their full potential,
- retain a greater diversity of talent in the sector,
- deliver a more socially sensitive strategic road network that is a better neighbour to diverse groups and neighbouring communities impacted by the contract. Paying attention to those who have protected characteristics as outlined in the Equality Act 2010 and
- monitoring and measurement of the difference made including clear governance and accountability for the *Contractor's* own company and its supply chain.

The IAP must be in place within the first 3 months of the contract.

The IAP relates specifically to the contract and is based on intelligence gathered.

The template IAP is provided below.

The total IAP length should not exceed 20 pages.

The IAP actions

- have clear ownership at the appropriate level,
- are monitored regularly and
- further actions are taken to ensure progress and to evolve the plan in light of new intelligence/evidence gathered.

The IAP needs to include

- the objectives – what the *Contractor* wants to achieve,
- current position - where the *Contractor* is at the start of the contract,
- action/ task to meet requirements – what the *Contractor* is going to do to meet its objectives,
- time frames – when the *Contractor* takes the action specified above
- update - to include details of activity during the quarter or details of review where there are no specific defined outputs with ongoing actions during the reporting period.

The impact of the actions is reviewed and good practice that is making a difference is shared widely by the *Contractor*.

Inclusion Action Plan Template

INCLUSION ACTION PLAN				Reporting Period:			
Name of Contract:		Start Date:		Finish Date:		Contract Manager:	
INTELLIGENCE							
Objective 1: To create an inclusive working culture, practices and environment that enable Staff 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/ framework							
Objective 3: Governance and capability – including how the <i>Contractor</i> develops wider supply chain capability around EDI							
Data							
Analysis							
Priorities for Action							

Part One – Working culture - outline the steps the <i>Contractor</i> takes to create a working environment and culture that enables Staff to perform					
Objective	Current position	Action/ Task to meet requirements	Action due date	Person responsible	Update
		1.			
Part two – Customers/ community – outline the steps the <i>Contractor</i> takes to genuinely consider the differing needs of customers and neighbouring communities when making decisions throughout the life of the contract					
Objective	Current position	Action/ Task to meet requirements	Action due date	Person responsible	Update
		1.			
Part three - Governance and accountability – describe how the <i>Contractor</i> holds itself and its supply chain to account in delivering and monitoring the difference made in relation to the above					
Objective	Current position	Action/ Task to meet requirements	Action due date	Person responsible	Update
		1.			

Inclusion Action Plan Scores

Metric	Scoring Guidance	Additional information	Score
Demonstrate an effective Inclusion Action Plan (IAP) is in place and is continually evolving to meet the requirements of the public sector equality duty and support the <i>Client</i> in embedding EDI in all areas of its business.	No intelligence gathered and no intelligence based IAP in place.	No evidence or IAP provided.	0
	Intelligence has not been gathered to identify opportunities but actions and IAP are in place to address the gathering of data and intelligence.	IAP being prepared with date of implementation provided.	2
	IAP in place but only being partially implemented.	Intelligence has not been used to identify opportunities, but actions and IAP are in place to address this. Actions are outstanding beyond their target date; no evidence of review or limited actions being carried out.	4
	Intelligence is gathered and analysed to identify opportunities and an intelligence based IAP is in place which is being fully implemented and up to date.	IAP is linked to priorities for action and being fully implemented. There is demonstrable activity that shows progress against expected timescales.	6
	An intelligence based IAP is in place and being fully implemented and evidence provided show the difference being made.	IAP and evidence provided are moderated by the <i>Client's</i> metric assessor to confirm it meets the scoring guidance.	8
	Robust intelligence based IAP is in place and being fully implemented and can show the quantifiable difference actions have made. Evidence that good practice is being shared.	Evidence produced shows the quantifiable difference in one of the 3 priority areas has led to legacy or the development of a case study and/ or good practice being shared widely with peers and down the supply chain. IAP and evidence provided are moderated by the <i>Client's</i> metric assessor to confirm it meets the scoring guidance.	10