

Ref.	Defined Term	Definition	Comments
1	Collaborative Planning	Collaborative Planning is a technique that involves all Parties working together to improve productivity, and reduce time and cost.	
2	Commitments Register	Commitments Register is the statement of that name set out in Annex A to the Form of Agreement detailing the commitments made by the <i>Contractor</i> as part of its tender in respect of how it is to Provide the Service.	Refer to section S338.8
3	Conflict of Interest	A Conflict of Interest may arise when your professional or personal interests or loyalties to a person or organisation outside Highways England affect or appear to affect the impartiality, judgement or effectiveness expected from you in interactions with Highways England.	
4	Construction Compliance Certificate	As per the meaning in BD2/12 Technical Approval of Highways Structure (Volume 1, Section 1 of the Design Manual for Roads and Bridges).	
5	Contractor Background IPR	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 in each case is or will be used to - before the end of the <i>service period</i> to Provide the Service and - for the maintenance, operation and modification of the <i>service</i>.	
6	Contracts Finder	Contracts Finder is the government website for information about contracts worth over £25,000 with the government and its agencies.	
7	Disclosure Request	A Disclosure Request is a request for information relating to the contract a	

		received by the Client pursuant to the Freedom of Information Act 2000 and Environmental Information Regulations 2004 or otherwise.	
8	Discrimination Acts	The Discrimination Acts are the Equality Act 2010 and any predecessor statutes.	
9	EEA	Is the European Economic Area.	
10	Employment and Skills Plan	The Employment and Skills Plan is the document described in Section S334 and Annex 06 of the Scope.	
11	Environmental Management Plan	A document (or set of documents) that sets out the mitigation needed to manage environmental effects associated with a development during the construction and operational phases	
12	Health and Safety File	As per the meaning given to it in the Construction (Design and Management) Regulations 2015.	
13	Inclusion Action Plan	The Inclusion Action Plan is the document described in Annex 06 of the Scope.	
14	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.	
15	Intellectual Property Rights or IPRs	are copyright and related rights, database rights, design rights, patents, inventions, trade marks (and goodwill attaching to those trade marks), domain names, applications for and the right to apply for any of the foregoing, moral rights, confidential information and any other intellectual or industrial property rights, whether or not registered or capable of registration, whether subsisting now or in future in any part of the world.	

16	Kano Analysis	Kano is approach to prioritising features on a product road map based on degree which they are likely to satisfy customers.	
17	List X (Annex 04)	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 here (https://www.gov.uk/government/publications/security-requirements-for-list-x-contractors).	
18	Nonconformity	Nonconformity has the meaning give in BS EN ISO 9000:2015.	
19	Performance Level	Performance Level is the performance level of the Collaborative Performance Framework stated in the Scope.	
20	Quality Plan	Has the meaning given in ISO 9001:2015.	
21	Quality Submission	Is the document submitted by the <i>Contractor</i> at time of tender.	
22	Service Provider System	Are the <i>Contractor's</i> (service provider) IT systems/applications which they use to provide services to Highways England.	
23	SME	SME means an enterprise within the category of Small, Medium or Micro Enterprises defined by the European Commission Recommendation of 6 May 2003 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.	
24	Specification	Has the meaning given to it as per section S 200 of the Scope.	
25	Staff	Staff are employees employed by the <i>Contractor</i> or an Associated Company or any Subcontractor to Provide the Service at any time.	
26	The Official Secrets Act 1989	The Official Secrets Act is the Official Secrets Act 1989 and any predecessor statutes.	
27	The Public Interest Test	The Public Interest Test requires a public authority, or oversight body, weigh the harm that disclosure would cause to the protected interest against the public interest saved by disclosure of the information.	



Highways England Company Limited

Scope

Reference Documents

Annex 02

CONTENTS AMENDMENT SHEET

Issue No.	Revision No.	Amendments	Initials	Date
0	0	Tender issue	ET	Dec 2020

Ref.	Document Name	Published by / Available from
1	"2012/27/EU" directive	http://www.legislation.gov.uk/eu/dr/2012/27/article/6
2	Apprenticeship data collection form (Annex 06)	Within folder titled 'Annex 02 Reference Documents'
3	Asset Data Management Manual	https://www.standardsforhighways.co.uk/ha/standards/admm/index.htm
4	Business continuity plan template	Within folder titled 'Annex 02 Reference Documents'
5	Cabinet Office Website (Annex 04)	Cabinet Office Website
6	Chief Highway Engineer Memo 415/18 Incident Reporting Standard ("CHE 415")	Within folder titled 'Annex 02 Reference Documents'
7	Chief Information Officer Memos (Annex 09)	Within folder titled 'Annex 02 Reference Documents'
8	<i>Client's</i> air quality strategy	Air Quality Strategy
9	<i>Client's</i> biodiversity plan	Biodiversity plan and annual reports
10	<i>Client's</i> Corporate Complaints Process	Within folder titled 'Annex 02 Reference Documents'
11	<i>Client's</i> environmental strategy	Highways England Environment Strategy
12	<i>Client's</i> The road to good design	The road to good design: Highways England's design vision and principles
13	<i>Clients</i> Customer Service Strategic Plan	Within folder titled 'Annex 02 Reference Documents'

14	<i>Clients</i> Road to Good Design	Within folder titled 'Annex 02 Reference Documents'
15	<i>Client's</i> PBA tracker system	For registration and guidance contact CommercialCostIntelligenceInbox@highwaysengland.co.uk
16	Code of Practice: Lighting and marking for Special Order, VR1, STGO and C&U loads (2012) and Code of Practice: Lighting and marking for abnormal load self-escorting vehicles incorporating operating guidance (2012)	Code of Practice: Lighting and Marking for Abnormal Loads, Vehicle Code of Practise
17	Collaborative Performance Framework (CPF)	Within folder titled 'Annex 02 Reference Documents'
18	Considerate Customer Codes of Practice (Annex 05)	Considerate Customer Codes of Practice
19	Construction Design and Management (CDM) Regulations 2015	http://www.legislation.gov.uk/uksi/2015/51/contents/made
20	Construction Industry Training Board (CITB) guidance	https://www.citb.co.uk/about-citb/partnerships-and-initiatives/construction-design-and-management-cdm-regulations/cdm-regulations/
21	Crown Commercial Services Guidance Note Publication of Government Tenders & Contracts November 2017 or later revision or replacement.	Crown Commercial Services Guidance Note Publication of Government Tenders & Contracts November 2017
22	Customer Survey Strategy – Better Journeys and Better Conversations	Customer Survey Strategy – Better Journeys and Better Conversations
23	Data Protection Act 2018	Data Protection Bill: General Processing
24	Declaration of Interest Form	Within folder titled 'Annex 02 Reference Documents'

25	Design Manual for Roads and Bridges	Design Manual for Roads and Bridges
26	Disclosure and Barring Service (Annex 04)	Disclosure and Barring Service
27	Environmental Information Regulations 2004 or later revision or replacement.	Environmental Regulations 2004
28	Environmental Permitting (England and Wales) Regulations 2008	Environmental Permitting Regulations (England and Wales)
29	Equal Opportunities Policy	Within folder titled 'Annex 02 Reference Documents'
30	Equality Act 2010 (Annex 04)	Equality Act 2010
31	Essentials of Managing Construction Health Risks	https://www.hse.gov.uk/construction/healthrisks/managing-essentials/essentials.pdf
32	EU Settlement Scheme	https://www.gov.uk/settled-status-eu-citizens-families
33	Fleet Operator Recognition Scheme (FORS)	Fleet Operator Recognition Scheme
34	Freedom of Information Act 2000 or later revision or replacement.	Freedom of Information Act 2000
35	Government Buying Standards Transport 2017	Sustainable procurement: the Government Buying Standards (GBS)
36	GG 103 "Introduction and general requirements for sustainable development and design.	GG103
37	Health and Safety Executive (HSE) F10.	https://www.hse.gov.uk/forms/notification/f10.htm
38	Health and Safety Management System and the associated policies and procedures.	http://www.highwayssafetyhub.com/

39	Health and Safety Maturity Matrix	Within folder titled 'Annex 02 Reference Documents'
40	Her Majesty's Passport Office guidance (Annex 04)	Her Majesty's Passport Office guidance
41	Highways England BPSS Privacy Notice (Annex 04)	Within folder titled 'Annex 02 Reference Documents'
42	Highways England Counter Fraud, Bribery & Corruption Policy & Response Plan	Within folder titled 'Annex 02 Reference Documents'
43	Highways England Disclosure Agreement.	Highways England Non-Disclosure Agreement
44	Highways England Fair Payment Charter	Within folder titled 'Annex 02 Reference Documents'
45	Highways England Information Security Data Security Standard	Within folder titled 'Annex 02 Reference Documents'
46	HMG Baseline Personnel Security Standard v6.0 - May 2018 (Annex 04)	HMG Baseline Personnel Security Standard v6.0 - May 2018
47	HMG Government Security Classifications	HMG Government Security Classifications
48	HMG Security Policy Framework (SPF)	HMG Security Policy Framework (SPF)
49	HMG Security Policy Framework version 1.1 – May 2018 (Annex 04/Annex 09)	https://www.gov.uk/government/publications/security-policy-framework
50	Highways England Home, Safe and Well Strategy	Highways England Home, Safe and Well Strategy
51	Information Security Incident Management Requirements	Within folder titled 'Annex 02 Reference Documents'

52	Information Security Secure Data Handling Requirements	Within folder titled 'Annex 02 Reference Documents'
53	Interim Advice Note 128 Highways England Supply Chain Health and Safety Incident Reporting ("IAN 128")	Interim Advice Note 128 Highways England Supply Chain Health and Safety Incident Reporting
54	ISO 14001	https://www.iso.org/standard/60857.html
55	ISO 31000	https://www.iso.org/iso-31000-risk-management.html
56	ISO 9001	https://www.iso.org/standard/62085.html
57	ISO45001:2018	https://www.iso.org/iso-45001-occupational-health-and-safety.html
58	IT Security Advice Team (Annex 04)	ITSecurityAdvice@highwaysengland.co.uk
59	List X (Annex 04)	Government Security Requirements for List X
60	LA 110 Material assets and waste	LA 110
61	LA 117 Landscape Design	LA 117
62	LA 118 Biodiversity Design	LA 118
63	LA 120 Environmental management plans (second iteration)	LA 120 second iteration
64	LA 120 Environmental management plans (third iteration)	LA 120 third iteration
65	Major Incident Management	Within folder titled 'Annex 02 Reference Documents'
66	Manual of Contract Documents for Highway Works (MCHW)	Manual of Contract Documents for Highway Works

67	National Cyber Security Centre End user device (EUD) security guidance (Annex 09)	National Cyber Security Centre - end user device security
68	National Examination Board in Occupational Safety and Health (NEBOSH) Construction Certificate	https://www.nebosh.org.uk/home/
69	National Skills Academy for Construction	National Skills Academy for Construction
70	Occupational descriptors (Annex 06)	Within folder titled 'Annex 02 Reference Documents'
71	OHSAS18001:2007	https://www.bsigroup.com/en-GB/ohsas-18001-occupational-health-and-safety/
72	Part II – The Verification Process of the HMG Baseline Personnel Security Standard (BPSS) (Annex 04)	Part II – The Verification Process of the HMG Baseline Personnel Security Standard (BPSS
73	Part IV – Post Verification Process of the HMG BPSS (Annex 04)	Part IV – Post Verification Process of the HMG BPSS
74	PPN 01/19 Applying Exclusions in Public Procurement, Managing Conflicts of Interest & Whistle Blowing or later revision or replacement.	PPN 01/19 Applying Exclusions in Public Procurement, Managing Conflicts of Interest & Whistle Blowing
75	PPN 02/17 Promoting Greater Transparency 13 December 2017 or later revision or replacement.	PPN 02/17 Promoting Greater Transparency 13 December 2017
76	PPN 02/18 Changes to the Data Protection Legislation and General Data Protection Regulation.	Procurement Policy Note 02/18: Changes to Data Protection Legislation & General Data Protection Regulation
77	PPN 1/17 Update to the Transparency Principles 16 February 2017 or later revision or replacement.	PPN 01/17 Update to Transparency Principles 16 February 2017

78	PPN Procurement Policy Note 01/18 Supply Chain Visibility	PPN Procurement Policy Note 01/18 Supply Chain Visibility
79	Procurement Policy Note 7/14 entitled "Implementing Article 6 of the Energy Efficiency Directive"	Implementing Article 6 of the Energy Efficiency Directive
80	Raising The Bar Initiative	Raising The Bar Initiative
81	Recruiting for Success (Annex 06)	Within folder titled 'Annex 02 Reference Documents'
82	Region maps	Within folder titled 'Annex 02 Reference Documents'
83	Rehabilitation of Offender Act 1974 (Annex 04)	Rehabilitation of Offender Act 1974
84	Respect at Work Guidance	Within folder titled 'Annex 02 Reference Documents'
85	RIS	Road Investment Strategy
86	risk and issue management principles document	Within folder titled 'Annex 02 Reference Documents'
87	risk and issues management manual	Within folder titled 'Annex 02 Reference Documents'
88	risk policy and strategy for the management of risk	Within folder titled 'Annex 02 Reference Documents'
89	Roadworks a Customer View	Within folder titled 'Annex 02 Reference Documents'
90	Scotland or Northern Ireland criminal record check process (Annex 04)	Scotland or Northern Ireland criminal record check process
91	Section 46 of Freedom of Information Act 2000 or later revision or replacement.	Section 46 of the Freedom of Information Act 2000
92	Security Policy 3 (Annex 04)	https://webarchive.nationalarchives.gov.uk/+/http://www.cabinetoffice.gov.uk/spf/sp3_ps.aspx

93	Security Team email (Annex 04)	securityteam@highwaysengland.co.uk
94	Specification for Highway Works	Specification for Highway Works
95	Statement of Highways England's IT Security Policy (Annex 09)	Within folder titled 'Annex 02 Reference Documents'
96	Supply Chain Portal	Supply Chain Portal
97	The Bribery Act 2010	The Bribery Act 2010
98	The Institution of Occupational Safety and Health	https://www.iosh.com/
99	The Official Secret Act 1989	The Official Secret Act 1989
100	The Public Interest Disclosure Act 1998 or later revision or replacement.	The Public Interest Disclosure Act 1998
101	Town and Country Planning Act (2008)	Town and Country Planning 2008
102	Traffic Signs Manuals	Traffic Signs Manuals
103	Transport Infrastructure Efficiency Strategy (Annex 06)	Transport Infrastructure Efficiency Strategy
104	Transport Infrastructure Skills Strategy (Annex 06)	Transport Infrastructure Skills Strategy
105	UK Visas and Immigration guidance on right to work and record retention (Annex 04)	UK Visas and Immigration guidance on right to work and record retention
106	UK Visas and Immigration's "Right to Work" acceptable documents and guidance (Annex 04)	Acceptable documents: Right to Work Checklist Guidance: Right to Work - Employers Guide

107	Cabinet Office Government Construction Strategy papers dated March 2016	https://www.gov.uk/government/ publications/government- construction-strategy-2016-2020
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Highways England Company Limited

Scope

Insurance

Annex 03

CONTENTS AMENDMENT SHEET

Amend. No.	Revision No.	Amendments	Initials	Date
0	0	Tender issue	ET	Nov 2020
1	1	Professional Indemnity Insurance	LJR	Apr 2021

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1 INSURANCE TABLE	
1.1 Property “All Risks” Insurance	
1.1.1.	Insured • <i>Contractor</i>
1.1.2.	Insured property and sum insured Any Plant and Materials and / or Equipment. The sum insured to represent the reinstatement or replacement cost of the relevant insured property.
1.1.3.	Basis of cover "All Risks" of physical loss, damage or destruction to the Insured property (as set out in paragraph 1.1.2 above) unless otherwise excluded.
1.1.4.	Territorial limits United Kingdom including offsite storage and during inland transit.
1.1.5.	Period of insurance The <i>Contractor</i> maintains the insurance from the <i>starting date</i> until the end of the Service Period or a termination certificate has been issued.
1.1.6.	Cover features and extensions • Automatic reinstatement of sum insured clause • Loss minimisation • Temporary repairs
1.1.7.	Principal exclusions • War and related perils, • Nuclear/radioactive risks, • Pressure waves caused by aircraft and other aerial devices travelling at sonic or supersonic speeds, • Wear, tear and gradual deterioration, • Consequential financial losses.

1.2	Third Party Public and Products Liability Insurance
1.2.1	Insured • <i>Contractor</i>
1.2.2	Interest To indemnify the Insured (as set out in paragraph 1.2.1 above) in respect of all sums that the Insured (as set out in paragraph 1.2.1 above) may become legally liable to pay whether contractually or otherwise (including claimant's costs and expenses) as damages in respect of accidental • death or bodily injury, illness or disease contracted by any person; • loss or damage to property; • interference to property or any easement right of air, light, water or way or the enjoyment or use thereof by obstruction, trespass, nuisance, loss of amenities; happening during the Period of insurance (as set out in paragraph 1.2.4 below) and arising out of or in connection with the <i>Services</i> and the contract.
1.2.3	Territorial limits United Kingdom and elsewhere in the world in respect of non-manual visits.
1.2.4	Period of insurance The <i>Contractor</i> maintains the insurance from the <i>starting date</i> until the Completion of the whole of the <i>Services</i> or termination of the contract whichever occurs earlier.
1.2.5	Cover features and extensions • Legal defence costs in addition to the limit of indemnity, • Contingent motor vehicle liability, • Health & Safety at Work Act(s) clause, • Data protection legislation clause, • Defence appeal and prosecution costs relating to the Corporate Manslaughter and Corporate Homicide Act 2007, • Indemnity to principals clause.

1.2.6	Principal exclusions • War and related perils, • Nuclear/radioactive risks, • Liability for death, illness, disease or bodily injury sustained by employees of the Insured (as set out in paragraph 1.2.1 above) arising out of the course of their employment, • Liability arising out of the use of mechanically propelled vehicles whilst required to be compulsorily insured by legislation in respect of such vehicles, • Liability in respect of predetermined penalties or liquidated damages imposed under the contract, • Liability arising from the ownership, possession or use of any aircraft or marine vessels, • Liability arising from contamination and pollution unless caused by a sudden, unintended, unexpected and accidental occurrence,
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1.3 Policies to be taken out as required by United Kingdom law	
1.3.1	Parties to the contract are required to meet their statutory insurance obligations in full. Insurances required to comply with all statutory requirements including, but not limited to, employers' liability insurance and motor third party liability insurance.
1.3.2	The limit of indemnity for the employers' liability insurance shall not be less than ten million pounds (£10,000,000) any one occurrence, the number of occurrences being unlimited during any annual period of insurance or such greater amount as is required by the applicable law for the duration of the contract or such greater period as is required by law.
1.3.3	The statutory insurances to contain an indemnity to principals clause in respect of claims made against the <i>Client</i> arising out of the performance of the <i>Contractor</i> of his duties under the contract.
1.3.4	The insurance shall be maintained from the date of the contract throughout the period of the contract.

1.4 Professional Indemnity Insurance	
1.4.1	Insureds • <i>Contractor</i>
1.4.2	Interest To indemnify the Insured (as set out in paragraph 1.4.1 above) for all sums which the Insured (as set out in paragraph 1.4.1 above) shall become legally liable to pay (including claimant's costs and expenses) as a result of any claim or claims first made against the Insured (as set out in paragraph 1.4.1 above) during the Period of insurance (as set out in paragraph 1.4.4 below) by reason of any act, error and/or omission arising from or in connection with professional services, advice, design and or specification relevant to the service or the contract
1.4.3	Territorial limits United Kingdom
1.4.4	Period of insurance The <i>Contractor</i> maintains this insurance from the <i>starting date</i> until twelve (12) years following Completion the whole of the <i>service</i> or termination of the contract whichever occurs earlier.
1.4.5	Cover features and extensions

	• Legal liability assumed under contract, duty of care agreements and collateral warranties, • Retroactive cover from the date of the contract or retroactive date no later than the date of the contract in respect of any policy provided on a claims made form of policy wording.
1.4.6	Principal exclusions • War related perils, • Nuclear/radioactive risks, • Insolvency of the Insured (as set out in paragraph 1.3.1 above), • Liability for death, illness, disease or bodily injury sustained by employees of the Insured (as set out in paragraph 1.3.1 above) arising out of the course of their employment.



Highways England Company Limited

Scope

***Client's* personnel security procedures**

Annex 04

CONTENTS AMENDMENT SHEET

Issue No.	Revision No.	Amendments	Initials	Date
0	0	Tender issue	ET	Nov 2020

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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.



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:	<i>Contractor / Consultant</i> (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:	