

6.	<p>Please attach a copy of your;</p> <p>Self-Employment contract (for any revised in the last 12 months, a copy of the current and past contract and the dates of any revisions); and, unless included within the employment contract;</p> <p>a. Assignment/Project schedule;</p> <p>b. EAA opt out notices;</p> <p>c. Data protection agreement</p>			
7.	<p>Please detail how you inform the agency of the worker's EAA regulation status and what procedures you have in place if an employee notifies you that they wish to withdraw an opt out notice.</p>			
8.	<p>Please provide a copy of your latest policies re:</p> <p>a. Professional indemnity;</p> <p>b. Employers liability (held on a contingent basis); and</p> <p>c. Public liability.</p>			
9.	<p>Provide a copy of your communication to workers that you require them to hold their own insurance</p>			
10.	<p>Explain how you ensure that Self Employed workers have the appropriate insurance cover?</p>			

11	Please provide a copy of your standard agencies contract/terms plus a copy of the contractual terms used for your 5 largest agencies if they differ			
----	---	--	--	--

	<u>If operating CIS model</u>			
1.	Please provide your UTR and Company Registration Number and status under CIS (e.g. Gross/Net)			
2.	Please provide documentation to support your registration under CIS and your status			
3.	Please attach your process for verifying self-employed workers with HMRC.			
4.	Attach your process for dealing with payments to sub-contractors who work both inside and outside of the CIS rules.			
5.	Describe your process for ascertaining the level of materials to be taken in to consideration when determining the amount to be subject to deduction under CIS			

6.	Attach your process for ensuring that the CIS returns are accurate and submitted on time			
7.	Detail any penalty notices or correspondence issued to you by HMRC within the last 12 months in respect of late/incorrect PAYE/NIC or CIS returns and payments			
8.	Provide details of any on-going disputes with HMRC or recently settled disputes within last 12 months concerning PAYE/NIC, VAT or CIS issues including, but not limited to, your own gross payment status			
10	Please provide a copy of your standard agencies contract/terms			

APPENDIX

Self-employment - HIGH RISK categories of workers

Categories/Sectors

Administrative/Clerical
Assembly plant
Call Centre
Data Entry
Hospitality
Industrial
Light industrial
Mail Centres
Package Handling
Retail
Warehouse
Restaurant / Food Service
Social care
Agricultural
Benefits Assessor/housing/council officer
Document Controllers
Lab Technicians/Biomedical Scientists
Low Skilled/Admin roles
Pharmacy Technician
Previous employment (same job and organisation)
Secretaries/Personal Assistants
Labourers
Non-skilled manual workers

APPENDIX 5

Transport for London Compliance

APPENDIX 6

The Authority - Decision to hire with criminality adverse reference or compliance alert

Name of Applicant		Applicant No.	
Role applied for		Hiring Manager	
Adverse disclosure	Basic: Disclosure <input type="checkbox"/>	DBS Standard <input type="checkbox"/>	DBS Enhanced <input type="checkbox"/> Reference: <input type="checkbox"/>
	Security Clearance <input type="checkbox"/> state level:		Other <input type="checkbox"/> state:
Date of disclosure			
SECTION 2: Risk Assessment			
Applicant meets essential criteria for the post (knowledge, skill, experience)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Has the applicant ever been dismissed from any GLA functional body: check System)?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Does the position fall under the exceptions listed in the ROA 1974?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is the nature of the adverse disclosure directly relevant to the role?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Details of offence/disclosure/issue Date of offence/disclosure/issue: Offence code if applicable: Date of conviction: Penalty, financial, prison or otherwise Was there a custodial sentence? Details:			
Considering the offence/disclosure, I summarise the risks associated with this role as follows (include duty of care and perceived level of risk) <div style="display: flex; justify-content: space-around; align-items: center;"> VERY LOW LOW MEDIUM HIGH </div> (please circle one) Please comment on your selection:			
Has the Contract Manager contacted Legal Services, if YES, what advice has been received and by whom? If advice received, please attach. Note:, referral to Legal Services is optional		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Have the Service Provider's Compliance team been consulted, if YES, what advice has been received and by whom? If written advice received, please attach.		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Mandatory: Have the following personnel been informed: Contract Manager Y / N, Service Provider's Recruiter Y / N			
Are the relevant offence(s) spent or unspent as defined by the Rehabilitation of Offenders Act (ROA)? Note: If the offences are Spent, they must be ignored and this form destroyed, except, for defined roles (usually concerning children or vulnerable adults) as stated in the ROA		Spent <input type="checkbox"/>	Unspent <input type="checkbox"/>
If applicable, did the applicant declare the relevant offence(s) on their application?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If applicable, does the information provided by the applicant match that on the disclosure?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Have all required references been received if required? Yes <input type="checkbox"/> No <input type="checkbox"/>			
Is the offence a terrorist or firearms offence, if YES this must be referred to Head of Legal Services Yes <input type="checkbox"/>			
If required or available, what did the references say about the applicant's suitability for the post?			

Statement from the Service Provider's Recruiter on the applicant's view and response to being asked about the alleged offences /adverse disclosures including their attitude towards them and the Recruiter's comments on engaging the Temporary Worker:

SECTION 3: Decision: Hiring Manager and the Authority's Contract Manager

Declaration: Having considered the completed Risk Assessment and the duty of care towards the individual, customers and employees, I have decided that the applicant does* / does not* constitute sufficient risk and should* / should not* be offered this post. * delete as appropriate

Reason for decision:

Signed (required) Hiring Manager: (type name)

Date

Signed (required) the Authority's Contract Manger (type name)

Date

APPENDIX 7

The Authority's Workplace Principles

Appendix 7 **Working at the GLA Group – Workplace Principles**

This document applies to all agency-supplied Temporary Workers who work on assignment with the GLA Group.

For the purposes of this document, The GLA Group means any Functional Body of the GLA or authority or contracting partner including Transport for London, , The London Fire Brigade, The Greater London Authority, The London Legacy Development Corporation, Old Oak and Park Royal Development Corporation.

A Temporary Worker can operate and be paid in one of three ways:

- On a PAYE basis, where the agency is responsible for statutory payments such as tax or NI, or the application and accrual of holiday pay
- Through an 'Umbrella' company (which must comply with the audit requirements of the agency)
- Through a UK Limited Company (of which the Temporary Worker must be a director)

The GLA Group expects all people to behave in a way that reflects the GLA Group's values and expectations as set out in these Workplace Principles. The Temporary Worker should comply with these Principles and should be aware that any failure to adhere to them may result in the termination of their Assignment with the GLA Group. If the Temporary Worker has any queries about the Principles he/she should refer their query to their nominated agency contact which sets the objectives for the temporary assignment

General Conduct

1. The Temporary Worker is required to behave with a high standard of integrity in business and commercial relationships and to treat all the GLA Group personnel, customers and anyone else with whom the GLA Group has dealings with dignity, fairness and respect.
2. The Temporary Worker must perform their duties diligently and must deal with members of the public sympathetically, efficiently, promptly and without bias.
3. The Temporary Worker must comply with all working procedures and safety instructions relevant to their Assignment, as notified to them by your nominated agency contact.
4. The Temporary Worker must avoid engaging in activities that may bring disrepute or damage upon the GLA Group, even where such conduct occurs outside of their GLA Group workplace.

Health and Safety

The GLA Group's customers, employees and suppliers have an expectation that when using or delivering our services they will remain harm free. Our vision is a harm free environment for all. The GLA Group is committed to meeting that vision and these expectations.

The GLA Group will ensure that our employees, agency staff and contractors go home healthy and safe every day, we maintain our assets and deliver projects safely without harming the environment wherever possible.

5. The GLA Group seeks to maintain a safe physical environment for all, including emergency procedures that are regularly updated. The Temporary Worker is responsible for familiarising themselves with all procedures applicable to their work as notified to them by their nominated agency contact.
6. The Temporary Worker must comply with health and safety requirements that are applicable to their work, and must proactively seek to remove or mitigate any health and safety risks in their working environment in order to ensure a safe physical environment for all.

Alcohol and the workplace

7. The GLA Group operates a zero-tolerance approach to alcohol to minimise any safety risks to customers, its employees and Temporary Workers. It is therefore the Temporary Worker's responsibility not to come to work if they are under the influence of alcohol in any way. The consumption of alcohol prior to commencing work, whilst at work or during meal/rest breaks in the working day, including meal/rest breaks spent outside the GLA Group / operational premises or when on call, is strictly prohibited.

8. The Temporary Worker:

- 8.1. Must not bring alcohol onto the premises, the only exception being where alcohol has been purchased during breaks for consumption away from company premises. On these occasions the seal must remain intact. If you are working for London Underground Ltd or London Rail or at any of their locations, or a Police force a more stringent requirement applies and you must not buy alcohol whilst on duty nor bring alcohol onto the premises.
- 8.2. Be mindful that some medication may contain alcohol or may cause drowsiness and therefore the worker should inform both their nominated agency contact and direct line manager if they are taking any medication that contains alcohol or may cause drowsiness.
- 8.3. If called upon in an emergency while off duty and when they have been drinking, the Worker must inform the nominated agency contact and their direct line manager of their alcohol consumption.

Drugs and the workplace

9. The GLA Group also operates a zero-tolerance approach to the misuse of drugs or use of illegal substances. The misuse, possession, consumption, storage (except for those prescribed and available without prescription), purchase or sale (or offer to purchase or sell) drugs or illegal substances on any GLA Group premises, or the provision of services under the influence of drugs or illegal substances will lead to the termination of Assignment.

10. The Temporary Worker:

- 10.1. Must advise their nominated agency contact and direct line manager if they are taking medicine, pills or drugs likely to impair work performance or if they have a misuse of drugs or misuse of illegal substances related problem.
- 10.2. Must not consume or use illegal drugs at any time, whether on duty or not, so as to ensure they are not under the influence when reporting for duty, providing services for the GLA Group or when on GLA Group premises; and,
- 10.3. Must not possess, store (except for those prescribed and available without prescription), or sell drugs or illegal substances on the GLA Group premises or in vehicles, or bring the GLA Group into disrepute by being involved in such activities outside work.

Smoking and the workplace

11. Smoking including the use of Electronic Cigarettes (vaping) is prohibited in all the GLA Group workplaces and during any meetings attended by a Temporary Worker on the GLA Group's behalf regardless of location. The work place includes such areas as reception, lifts, staircases, corridors, cloakrooms, toilets, storerooms, recreation/rest rooms, kitchen areas and canteens, vehicles owned by or leased to the GLA Group and its subsidiaries and driven by employees for business purposes.

Electronic Communications and Equipment Usage

12. Electronic mail (email), the The Intranet and the Intranet are essential business tools for the GLA Group which the Temporary Worker must use effectively and appropriately, whether the Temporary Worker is accessing these tools through using their own equipment or using equipment provided by the GLA Group.
13. All Information and Communications Technology (IT) equipment, in whatever form, relating to the GLA Group's business activities and all information handled by the GLA Group relating to other organisations with which it deals, is subject to this policy.

This includes but not limited to the following: any computer (including laptops and tablets issued for off-site use), mobile and handheld or body devices (e.g. Two Way Radios, Body Worn Cameras etc.), server or network equipment and any telephone handset, switchboard or voice network provided or supported by the GLA Group. It also includes any data stored, processed or transmitted on such networks and data/programs stored on the GLA Group's computer systems or on magnetic or optical storage media that is owned and/or maintained by the GLA Group. This principle extends to any computer equipment used by the Temporary Worker whether it belongs to them, to the GLA Group, or a third party, when it is used to work on the GLA Group's business whether on the GLA Group's premises or elsewhere.

14. The GLA Group reserves the right to monitor and/or record individual use of IT facilities for legitimate purposes to protect against misuse and to ensure system and operational efficiency and integrity. It reserves the right to access individual accounts in circumstances where it has a reasonable belief that there has been a breach of this policy.
15. The Temporary Worker should therefore have no expectation of privacy whilst using any GLA Group IT device, product or facility. Copies of emails, text messages and or communication may be disclosed to third parties for legal reasons.

16. The Temporary Worker:

- 16.1. Must ensure that they do not download, create or transmit material that is abusive or threatening to others or might be regarded as offensive on the basis of personal characteristics such as race, sex, colour, religion, nationality, gender, disability, sexual orientation or age. Where such material is received or stored on personal equipment and brought into the workplace, the Temporary Worker must not show, print, forward or transfer such material on to the GLA Group equipment whilst on GLA Group premises;
- 16.2. Must notify their nominated agency contact immediately if any such material is accessed accidentally;
- 16.3. Must use the GLA Group's facilities for business purposes only but may use them for limited personal use provided this does not interfere with their Assignment
- 16.4. Keep passwords confidential, not write them down or disclose them to other Temporary Workers, workers or employees, including IT Temporary Workers and employees, and ensure that PC/terminals are locked if left unattended;
- 16.5. Must not attempt to circumvent any security controls, determine or identify passwords or breach conditional access systems, whether belonging to the GLA Group, its suppliers or third parties;
- 16.6. Must not use or attempt to use IT facilities or attempt to access data they are not authorised to use or access; and,
- 16.7. Must not retain the GLA Group information on any non-GLA Group equipment at the end of their Assignment unless authorised to do so.
- 16.8. Must report any data breach to their manager immediately and in case within 24 hours to give time for the manager and The GLA Group to comply with reporting requirements required by the Information Commissioner

Social Media

17. GLA Group Temporary Workers are encouraged to participate in dialogue on internal networking platforms; however, they must act in accordance with the GLA Group behaviours and all other policies that govern our actions at work. For example, the Temporary Worker should not insult other GLA Group Temporary Workers, workers or employees, or upload any inappropriate material.
18. On non-GLA Group social media platforms, the Temporary Worker must not publish or discuss information not approved for public release, refer to their own opinion as being that of the GLA Group's or appear to represent the GLA Group's official view on any topics. Such messaging is conveyed only by official GLA Group channels of communication.
19. The Temporary Worker must not post any confidential or sensitive information related to GLA Group employees, customers or suppliers without their permission and where the information may amount to sensitive, personal data, must not do so without the prior consent of the individual.
20. The Temporary Worker must not react or respond to posts or to a third party's attempt to start conversations about the GLA Group. If the Temporary Worker is made aware of potentially damaging conversations, he/she should alert the Press Office.

21. The Temporary Worker must take care when mixing personal and professional life in the social media world as lives can easily intersect. The GLA Group respects the right for its entire people to speak freely, but they must remember that the GLA Group employees, customers and suppliers may have access to material posted online. This should be kept in mind when publishing information online that can be seen by or reposted in an unrestricted environment on other social media.

Attendance

22. Where the Temporary Worker agrees to carry out work at a particular time, for example to attend a meeting, they must always:
- 22.1. Attend on time at the appropriate place and ensure that they are not late or absent without good cause;
- 22.2. If they are unable to attend work at a contractually agreed time or unable to deliver work on an agreed date, they should inform their nominated agency contact and direct line manager by telephone as soon as possible; and
- 22.3. Confirm the reason for their absence in writing to the their nominated agency contact and direct line manager

Equality, Diversity & Inclusion

23. The GLA Group is committed to equality and inclusion and values the diversity of its people, customers and suppliers. The Temporary Worker must display and encourage in others a behaviour that contributes to an environment where everyone is treated fairly, equally and with dignity and respect.
24. The Temporary Worker must ensure that their behaviour at work does not discriminate against or harass others

Bullying and Harassment

25. The GLA Group values the existence of a safe and supportive working environment and expects the Temporary Worker to behave in a professional, responsible, moderate and sensitive manner in dealings with others.
26. The Temporary Worker:
- 26.1. Shall understand that bullying and harassment will not be tolerated and that unacceptable language and behaviour will be challenged;
- 26.2. Should they become aware of any potentially offensive material in the workplace for example photographs, posters, postcards, email or Internet material, ensure that is not displayed or circulated;
- 26.3. Co-operate with any fact finding process into bullying or harassment, including attending fact finding meetings, irrespective of whether or not they have been directly involved themselves; and,
- 26.4. Raise any concerns about inappropriate conduct in the workplace with their nominated agency contact and direct line manager.

Business Ethics

27. As a public sector organisation, the GLA Group requires the Temporary Worker to act with integrity, impartiality and honesty. The Temporary Worker must not use their authority or position for personal advantage or against the GLA Group's public interest. In particular, the Temporary Worker should:
- 27.1. Handle internal and external business affairs with complete integrity without reference to personal interest;
 - 27.2. Inform the GLA Group in writing if they have any personal interest that might affect, or could be seen by others to affect, their impartiality in dealing with customers, suppliers, contractors or members of the public or in discharging their responsibilities under the Assignment;
 - 27.3. Reject any business practice which might reasonably be deemed improper;
 - 27.4. Follow the letter and spirit of the law, guidance from appropriate professional institutions or bodies, good business practice and contractual obligations; and
 - 27.5. Not deceive or knowingly mislead customers, the public, senior managers or managers, GLA Group employees, workers or other Temporary Workers.

Confidential Information

28. The Temporary Worker should not disclose sensitive or confidential information about the GLA Group, other than that required by the normal course of their Assignment, unless expressly authorised to do so, in writing, by the GLA Group.
29. The Temporary Worker should not use any confidential information, whether technical, commercial, financial, personal or other, for personal gain or against the GLA Group's interests, or pass it on to others who might use it in this way.

Please provide the following and return to the Service Provider (or verify online):

Full Name:

Date:

Signature:

APPENDIX 8

NOT USED

APPENDIX 9

The Authority - Compliance pre-engagement screening matrix

GLA, OPDC, LLDC

Pre- engagement Screening Matrix for Temporary Workers

GLA Functional Departments

Accountancy

Admin & Secretarial

Basic Criminality check (Basic Disclosure Scotland BDS)	Identity checks & right to work	Proof of address	Employment history	Occupational Health questionnaire	Occupational Health medical (if questionnaire flags up issues)	Basic disclosure	Enhanced DBS disclosure	Qualifications (inc drivers licence) and / or professional membership	Financial Probity	Government Security
x	x	x	x			x			x	
x	x	x	x			x				

Admin & Secretarial	x	x	x	x			x				
Commercial/Proc/QS	x	x	x	x			x				
Health & Safety	x	x	x	x			x				
Human Resources	x	x	x	x			x				
Information Management	x	x	x	x			x				
Legal	x	x	x	x			x				
Marketing	x	x	x	x			x				
Medical	x	x	x	x				x	x		
Project Management	x	x	x	x			x				
Planning	x	x	x	x			x				
Risk	x	x	x	x			x				

APPENDIX 10

The Authority Financial Probity and Qualification checks/validation

1. Financial Probity requirements

The Service Provider shall check and provide financial probity checks in every case for roles with the following job titles and in addition, provide financial probity checks for any role when requested by The Authority. Request for checks outside of this list will be via The Solution or via Email to The Service Provider.

Checks are to commence before the worker begins their assignment.

For clarification, this requirement currently applies to workers across the GLA Group:

Commercial Accountant
Commercial Finance Analyst
Technical Accountant
Capital Accountant
Accounts Clerks
Accounts Manager
Accounts Supervisor
Assistant Accountant
Senior / Lead Analyst
Tax Accountant
Tax Manager
Senior Credit Controller
Credit Controller
Finance/Accounts Officer
Finance/Accounts Assistant
Financial Operations & Performance Mgr
Financial Operations Assistant
Business Accounting Manager (Engineering)
Business Operations Officer
Finance Mgr
Senior Finance Manager
Group Financial Accountant/Manager (Qualified)
Principal Group Financial Accountant
Financial Controller
Senior Internal Auditor
Internal Auditor
Investment Support Analyst
Investment Analyst
Investment Analyst (Qualified)
Payroll Manager

Payroll Specialist
Senior Project Accountant
Project Accountant
Reconciliation Clerk
Senior Accountant
Systems Accountant
Senior / Lead Systems Accountant
Treasury Accountant
Senior / Lead Treasury Accountant
Asst Finance BP
Asst Finance BP (qualified)
Finance BP (formerly MA)
Management Accountant
Senior Finance BP (formerly MA)
Senior Management Accountant
Financial Accountant (Qualified)
Senior/Lead Financial Accountant (Qualified)
Cost Assistant
Cost Manager
Programme Controls Manager
Project Controls Manager
Working Capital & Forecasting Mgr
Working Capital & Forecasting Support Mgr
Payroll Integration Lead
Payroll Systems Administrator
Finance & Procurement Lead
Business Analyst
Finance Programmes Manager
Senior Credit Controller
Credit Controller
Assistant Credit Controller
Senior Contract Manager
Contract Manager
Contract Lead
Assistant Contract Manager
Contract Analyst
Contract & Finance Manager
Contract Performance Mgr
Contracts Auditor (higher)
Senior Commercial Lead
Senior Commercial Manager
Commercial Manager
Assistant Commercial Manager

Commercial Assistant
Estimating Manager
Estimating Specialist
Franchise Manager
Senior/Lead Quantity Surveyor
Quantity Surveyor
Assistant Quality Surveyor
Licensing Manager
Category Manager
Senior Claims Manager
Claims Manager
Assistant Claims Manager
Senior Cost Manager
Cost Manager
Senior Procurement Manager
Procurement Specialist
Procurement Manager
Procurement Officer
Procurement Assistant
Senior Buyer
Buyer/Procurement Agent
Project Commercial Manager
Utilities Contract Commercial Manager
Bid Manager
Internal Auditor
Risk Manager
Risk Analyst
Risk Advisor
Risk and Opportunities Manager
Security Auditor
Senior Internal Auditor

About the check

A financial probity check will ensure that candidates have no history of financial mismanagement when recruiting temporary workers to the handling of money, accounts, commercial and auditor roles and sensitive data.

The check must include:

1. County Court Judgements (CCJs)
2. Bankruptcies, voluntary arrangements, decrees and administration orders
3. The check must consult the candidate's electoral roll registration to confirm their current address.

The check will be a UK check only except in cases where the candidate has been resident in other countries in the last 5 years and in that case, an international financial probity check will be carried out..

A record shall be kept of the check and the result and the Authority shall retain the right of audit.

Where an adverse result it obtained the service provider must share the result with the Authority's recruitment manager within 3 days or receipt.

2. Qualification checks and qualification verification checks

The following will be viewed by the Service Provider and the copies taken and retained by the Service Provider for the duration of the Service Provider's contract with The Authority that shall have the right of inspection at any time:

1. Where named as essential or not named as desirable: Educational qualifications, occupational or other certifications, licences, where stated as essential on the job description or listed or stated as part of the job briefing or where named on the via e-form
2. Where named as essential or not named as desirable: Professional memberships, occupational memberships where stated as essential on the job description or listed or stated as part of the job briefing or where named on the via e-form

Qualification and membership validation

For the critical roles listed below, in addition to points 1 and 2 above, the Service Provider will seek validation with the professional institute or issuing body for the following roles where occupational certifications and/or memberships are deemed critical and are held by the individual, in addition, any other named role requested by The Authority.

Request for checks outside of this list of roles will usually be via a note on The Solution.

Medical
Nursing Technician or any Nurse
Consultant Occupational Physician
Doctor
Counsellor
Trauma Practitioner
Flu Nurse
Health Care Assistant
Junior Doctor
Medical Advisor - Employment Screening
Clinical Nurse
Occupational Health Nurse
OH Physiotherapy Manager (Consultant PT)
OH Senior Physiotherapist (Senior 1/Clinical Specialist)
Physiotherapist
Rehabilitation Physiotherapist (Senior 2)

Senior Clinical Nurse
Senior Occupation Health Nurse
Audit:
Audit Manager
Internal Auditor
Security Auditor
Senior Internal Auditor
Legal:
Head of Legal Services
Principal Lawyer
Legal Services Manager
Senior Associate Lawyer
Associate Lawyer
Senior Lawyer
Lawyer
Senior Principal Lawyer
Engineering/risk/safety/site:
H&S Site Inspector
HSE (Health & Safety) Manager
Health & Safety Specialist
H Safety & Environmental Compliance Manager
Health, Safety & Quality Assurance Manager
Human Factors Engineer
Inspector
Surveyor
Financial:
Accountant
Tax Accountant
Group Financial Accountant/Manager (Qualified)
Principal Group Financial Accountant
Financial Controller
Investment Analyst (Qualified)
Payroll Manager
Senior Accountant
Systems Accountant
Senior / Lead Systems Accountant
Treasury Accountant
Senior / Lead Treasury Accountant
Senior Finance Business Partner (Formally Management Accountant)
Engineering track:
Alignment Engineer
Assessment Engineer

Assistant Track Engineer
Assurance Engineer - Track
Design Engineer
Principal Track Engineer
Project Engineer
Senior Design Engineer
Senior Project Engineer
Senior/Lead Assessment Engineer
Senior/Lead Assurance Engineer - Track
Senior/Lead Track Engineer
Track Engineer
Engineering, Signalling:
Assistant Design Engineer
Assistant Signalling Engineer
Assurance Engineer - Signalling
Control and Information Engineer
Design Engineer
Integration Engineer
Lead Signalling Engineer
Principal Design Engineer
Principal Signalling Engineer
Project Engineer
Senior Assurance Engineer - Signalling
Senior Control & Information Engineer
Senior Design Engineer
Senior Integration Engineer
Senior Project Engineer
Senior Testing & Commissioning Engineer
Signalling Engineer
Testing and Commissioning Engineer
Engineering, rolling stock:
Assistant Engineer
Electrical Engineer - Rolling Stock
Engineer
Lead Engineer
Principal Engineer
Principal Safety Engineer - Rolling Stock
Systems Safety Engineer
Rolling Stock Designer
Senior Electrical Engineer - Rolling Stock
Senior Rolling Stock Designer
Senior Systems Engineer - Rolling Stock
Systems Engineer - Rolling Stock

Engineering: Civils
Installation Engineer
Interface Engineer
Lead SCADA & Controls Engineer
Lead Systems Integration Engineer
Lift Quality Inspection Engineer
Modelling Engineer
NRSWA Inspector
Planning Engineer
Power Engineer
Power Engineer - Alternating Current
Power Engineer - Direct Current Traction
Power Engineer - Electrical Mechanical
Project Engineer
RAM (Reliability, Availability, Maintainability) Engineer
Risk Engineer
Route Manager
SCADA Engineer
Section Engineer
Senior Assessment Engineer
Senior Assurance Engineer
Senior CAD Designer
Senior Communications Engineer
Senior Construction Manager
Senior Engineer
Senior Equipment Engineer
Senior Installation Engineer
Senior Interface Engineer
Senior Modelling Engineer
Senior Network Planning Engineer
Senior Outside Parties Engineer
Senior Power Engineer
Senior Power Engineer - Electrical Mechanical
Senior Project Engineer
Senior Quality Engineer
Senior Road Safety Engineer
Senior Systems Engineer
Senior Traffic Engineer
Senior Vesting and Property Engineer
Site Manager
Site Supervisor
Systems Architect
Systems Engineer

Testing & Commissioning Manager
Traffic Engineer
Traffic Surveyor/Technician
Vesting and Property Engineer
Works Inspector

Note: 'Lawyer' means Lawyer or Solicitor

The verification service will be at no extra cost to The Authority here the information is freely available at no cost to the enquirer, where a cost is chargeable to the Service Provider, The Authority will cover the actual cost of verification.

APPENDIX 11

The Authority - Right to Work



Home Office

Right to Work Checklist

Name of person:	
Date of check:	
Type of check:	Initial check before employment <input type="checkbox"/> Follow-up check on an employee <input type="checkbox"/>

Step 1 Obtain

- You must **obtain original** documents from either **List A** or **List B** of acceptable documents.

List A

- ☐ A passport showing the holder, or a person named in the passport as the child of the holder, is a British citizen or a citizen of the UK and Colonies having the right of abode in the UK.
- ☐ A passport or national identity card showing the holder, or a person named in the passport as the child of the holder, is a national of a European Economic Area country or Switzerland.
- ☐ A Registration Certificate or Document Certifying Permanent Residence issued by the Home Office, to a national of a European Economic Area country or Switzerland.
- ☐ A Permanent Residence Card issued by the Home Office, to the family member of a national of a European Economic Area country or Switzerland.
- ☐ A **current** Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office to the holder indicating that the person named is allowed to stay indefinitely in the UK, or has no time limit on their stay in the UK.
- ☐ A **current** passport endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has the right of abode in the UK, or has no time limit on their stay in the UK.
- ☐ A **current** Immigration Status Document issued by the Home Office to the holder with an endorsement indicating that the named person is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.
- ☐ A **full** birth or adoption certificate issued in the UK which includes the name(s) of at least one of the holder's parents or adoptive parents, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.
- ☐ A birth or adoption certificate issued in the Channel Islands, the Isle of Man or Ireland, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.
- ☐ A certificate of registration or naturalisation as a British citizen, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.

List B Group 1

- ☐ A **current** passport endorsed to show that the holder is allowed to stay in the UK and is currently allowed to do the type of work in question.
- ☐ A **current** Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office to the holder which indicates that the named person can currently stay in the UK and is allowed to do the work in question.
- ☐ A **current** Residence Card (including an Accession Residence Card or a Derivative Residence Card) issued by the Home Office to a non-European Economic Area national who is a family member of a national of a European Economic Area country or Switzerland or who has a derivative right of residence.
- ☐ A **current** Immigration Status Document containing a photograph issued by the Home Office to the holder with a valid endorsement indicating that the named person may stay in the UK, and is allowed to do the type of work in question, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.

List B Group 2

- ☐ A Certificate of Application issued by the Home Office under regulation 17(3) or 18A (2) of the Immigration (European Economic Area) Regulations 2006, to a family member of a national of a European Economic Area country or Switzerland stating that the holder is permitted to take employment which is **less than 6 months old together with a Positive Verification Notice** from the Home Office Employer Checking Service.
- ☐ An Application Registration Card issued by the Home Office stating that the holder is permitted to take the employment in question, **together with a Positive Verification Notice** from the Home Office Employer Checking Service.
- ☐ A **Positive Verification Notice** issued by the Home Office Employer Checking Service to the employer or prospective employer, which indicates that the named person may stay in the UK and is permitted to do the work in question.

Step 2 Check			
<ul style="list-style-type: none"> You must check that the documents are genuine, that the person presenting them is the prospective employee or employee, the rightful holder and allowed to do the type of work you are offering. 			
1. Are photographs consistent across documents and with the person's appearance?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
2. Are dates of birth consistent across documents and with the person's appearance?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
3. Are expiry dates for time-limited permission to be in the UK in the future i.e. they have not passed (if applicable)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
4. Have you checked work restrictions to determine if the person is able to work for you and do the type of work you are offering? (for students who have limited permission to work during term-times, you must also obtain, copy and retain details of their academic term and vacation times covering the duration of their period of study in the UK for which they will be employed)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5. Are you satisfied the document is genuine, has not been tampered with and belongs to the holder?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
6. Have you checked the reasons for any different names across documents (e.g. marriage certificate, divorce decree, deed poll)? (Supporting documents should also be photocopied and a copy retained.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

Step 3 Copy
<p>You must make a clear copy of each document in a format which cannot later be altered, and retain the copy securely: electronically or in hardcopy. You must copy and retain:</p> <p>1. <input type="checkbox"/> Passports: any page with the document expiry date, nationality, date of birth, signature, leave expiry date, biometric details and photograph, and any page containing information indicating the holder has an entitlement to enter or remain in the UK and undertake the work in question.</p> <p>2. <input type="checkbox"/> All other documents: the document in full, both sides of a Biometric Residence Permit.</p> <p>You must also record and retain the date on which the check was made.</p>

Know the type of excuse you have
<p>If you have correctly carried out the above 3 steps you will have an excuse against liability for a civil penalty if the above named person is found working for you illegally. However, you need to be aware of the type of excuse you have as this determines how long it lasts for, and if, and when you are required to do a follow-up check.</p> <p>The documents that you have checked and copied are from:</p> <p>1. List A <input type="checkbox"/> You have a continuous statutory excuse for the full duration of the person's employment with you. You are not required to carry out any repeat right to work checks on this person.</p> <p>2. List B: Group 1 <input type="checkbox"/> You have a time-limited statutory excuse which expires when the person's permission to be in the UK expires. You should carry out a follow-up check when the document evidencing their permission to work expires.</p> <p>3. List B: Group 2 <input type="checkbox"/> You have a time-limited statutory excuse which expires 6 months from the date specified in your Positive Verification Notice. This means that you should carry out a follow-up check when this notice expires.</p> <p>Date follow-up check required: <input type="text"/></p>

APPENDIX 12

MPS BSS Data Retention Periods

Appendix 12 - MPS data retention periods

APPENDIX 13

GLA Group Rate Card

APPENDIX 14

Talent Pool Technology

1. Talent Pool Technology Functionality Requirement:

- Talent Pool Technology is required to enable The Authority and/or Service Recipients to establish and fully maintain a Talent Pool of Applicants, Candidates and Temporary Workers.
- It is therefore a requirement for The Solution to provide robust Talent Pooling Functionality in the form of a cloud hosted database of Applicants, Candidates and Temporary Workers.
- The Talent Pool function will include and release all updates / platform improvements; enabling evolution and development of the Talent Pool model throughout the duration of the contract.
- Should The Solution not hold the required Talent Pool capability, then a Talent Pool function should be able to interface fully and seamlessly with the Service Providers wider Solution to deliver the full specification requirements with regard to the management and processing of all Talent Pool sourced Applicants, Candidates and Temporary Workers.

2. Access and profile management

- The Talent Pool Function shall establish Authority-wide and individual Service Recipient Talent Pools. Enabling access to a wide range of Applicants, Candidates and Temporary Workers.
- The Talent Pool Function shall enable Applicants, Candidates and Temporary Workers to directly register, create, maintain and delete their own digital profile owned and managed directly by them via an individual and single login through The Solution (including updating rates qualifications, certification, locations, skills, availability, work experience, availability, location etc).
- The Talent Pool Function is required to offer the Applicants, Candidates and Temporary Workers an opt in/out basis to receive automated notifications for relevant jobs.
- As per The Authority's Cyber & Information Governance standards, The Talent Pool Function will ensure any information stored is fully secure & retrievable.

3. Application, Sourcing and Compliance

- The Talent Pool Function will directly publish job requirements to external sites, such as job-boards and social media sites. This functionality will be delivered via an integration with a multi-poster or manually and will direct Applicants, Candidates and Temporary Workers straight to the Talent Pool application/sign-up process.
- Where the Authority or Service Recipient purchases adverts for both temporary and permanent roles the Talent Pool shall be able to directly post vacancies to these pre-agreed set of job boards which will be defined during the implementation stage. Any advert, multi-posting and other third-party costs will be agreed with the The Authority and Service Recipients.
- The Talent Pool Function can be linked with the Service Recipients careers pages/portals to enable the Talent Pool Applicants, Candidates and Temporary

Workers to apply for any advertised roles through branded careers pages; from where they can apply directly and subsequently join the Talent Pool via a simple application/sign up page.

- The Talent Pool capability shall ensure the candidates hold relevant compliance & skill requirements at point of application.
- Matched Applicants, Candidates and Temporary Workers will receive notification of a suitable job, shall be able to review job details and directly apply for the role.
- The Talent Pool Function shall allow Applicants, Candidates and Temporary Workers to apply for a relevant role by both invitation and pro-active job searching.
- The Talent Pool Function must allow the Applicants, Candidates and Temporary Workers to apply to one specific or multiple roles.
- The Applicants, Candidates and Temporary Workers will receive notifications at every stage of the recruitment and compliance process.
- The Talent Pool Function shall have the ability to distribute relevant and appropriate electronic communication to the Applicants, Candidates and Temporary Workers and potential Candidates in the pool to keep both passive and active Talent Pool Applicants, Candidates and Temporary Workers engaged at all times.

4. Sourcing:

- The Talent Pool function shall digitally match, and recommend vetted, suitable Applicants, Candidates and Temporary Workers across all Job Categories specified in Appendix 3.
- The Talent Pool function shall have an intelligent matching / tagging functionality inc. but not limited to: skills, location, compliance status, availability, rate.
- The Talent Pool function shall enable a proactive and targeted search for specific Named Workers using past work history, job role, skill set or other identifier.
- The Talent Pool function shall report on how many Applicants, Candidates and Temporary Workers are available per Category to enable proactive sourcing, and engagement strategies to be implemented – per category outlined in Appendix 3.
- The Talent Pool function shall provide rate benchmarking by collating and reporting (as a minimum) the following data relating to required filters.
- The Talent Pool shall allow for filtered search for sourcing of roles to build 'pipelines'. This is to enable Applicants, Candidates and Temporary Workers attraction and engagement strategies for future requirements to fit with workforce planning.

APPENDIX 15

Reporting and Management Information

Reporting:

In addition to the Invoice Data File as defined in The Solution, the Service Provider shall provide reports for (including but not limited to), all information stated below on a weekly basis or as required to The Authority and Service Recipients.

1.	Requisition reference number
2.	Unique personal identification number for the individual from the Service Provider's Solution (as a minimum)
3.	Unique personal identification number from the Authority's Solution (if supplied) For MPS will require PSOP record number
4.	Name
5.	Job title
6.	Work email address
7.	Service Recipient
8.	Business area plus cost centre
9.	Cost Centre Code/Number
10.	Hours worked; regular hours, overtime hours, including but not limited to – <ul style="list-style-type: none">• Shift patterns• Weekends• Public Holiday• Total hours• Time worked against Project Codes
11.	Expenses

12.	Value Added Tax if applicable
13.	Apprentice Levy fee
14.	Service Provider fee breakdown as per pricing schedule
15.	Other Supplier Commission (Agency Fee)
16.	Detailed breakdown of all additional / statutory costs
17.	Net and Gross weekly rate
18.	Equivalent day rate for all Temporary Workers paid hourly
19.	Email of the line manager for each temporary worker
20.	Name of Hiring Manager (from Requisition)
21.	Type of engagement: PAYE, Umbrella, PSC worker
22.	Time (to the second) when hours are submitted (saved), rejected, and approved
23.	Name of Submitter & Authoriser for processed hours
24.	Start date of assignment
25.	End date of assignment
26.	IR35 status determination (inside or outside) – i.e. Limited Company, PAYE, etc.
27.	Description of all other costs not identified above
28.	Live report to capture status of hours so they can be filtered to show: <ul style="list-style-type: none"> • Approved • Released • Saved • Rejected Hours

Management Information:

In addition to the above required information; there is a requirement for consolidated Authority and individual Service Recipient`s Management Information.

Management Information shall include, but will not be limited to, the following; with frequencies and format agreed with The Authority and Service Recipients during implementation; and thereafter throughout the contract duration as required.

	Description
Active assignments / Temporary Worker Population	<ul style="list-style-type: none">• Headcount, hours, new hires and tenure report per:<ul style="list-style-type: none">○ Business Unit/Area○ Category○ Job title• A report of Temporary Workers showing:<ul style="list-style-type: none">○ Name of worker○ Order reference number○ Job category○ Job title○ Business Unit/Area○ Cost Centre○ Start date of assignment○ Stated end date of assignment○ Assignment duration report○ AWR○ Worker status (PAYE, Umbrella, Ltd, PSC/outside IR35)• Reason for the assignment that shall include (but not is not limited to) the following: project work, specialist, maternity cover, secondment cover, legal requirement, volume of work and any other reason deemed applicable from a defined list collated and managed by the Service Provider• Month in business• Length of Service• Next IR35 status review and renewal dates• Sourcing Channel – Talent Pool, The Service Provider, Lead or Secondary supplier, Other• Name of the Supplier operating as the end engager• VAT status• Identified Temporary Worker as over/under 21 years of age
Performance against Service Level and KPIs	<ul style="list-style-type: none">• Performance monitoring report – full KPI output against targets• Full details of any requisitions that could not be filled• Source of the filled requisitions/posts, including but not limited to:<ul style="list-style-type: none">○ Named Workers○ Directly via the Talent Pool○ Sourced by the Service Provider○ Lead Supplier○ Secondary Supplier• Filled roles by Lead & Secondary Suppliers, broken down by percentage of hires against each Job Category• List of all hires that are outside of agreed KPIs for – to

	<p>offer/time to hire, against business area</p> <ul style="list-style-type: none"> • Number of CVs submitted and rejected stating reasons • Hiring Manager CV feedback time by % of Red/Amber/Green • Hiring Manager interview feedback time by % of Red/Amber/Green • Lead supply channels ranked in terms of number of Requisitions filled • Candidate and Customer satisfaction survey results • Primary and Secondary supplier feedback survey results <p>A weekly report of (including but not limited to):</p> <ul style="list-style-type: none"> • Temporary Workers that were not paid on time &/or incorrectly. • Late authorisation of time. • Costs associated with payment for authorized hours post deadline. • All pay complaints • Savings for incorrect time claimed
Temporary Worker Management	<ul style="list-style-type: none"> • Reason for Termination of Assignment to include but not limited to: <ul style="list-style-type: none"> ○ Right to work issues ○ Alcohol and drug offences ○ Arrested on or off-site or in custody for misconduct including physical violence incidents ○ Exit Questionnaire survey • Employment tribunals lodged with Service Provider • Ongoing employment tribunals and likely timescales and costs and outcomes • Summary of comments/complaints with corrective action taken via the issue and resolution log
On-boarding and Compliance	<ul style="list-style-type: none"> • International criminality checks and costs • International financial probity and qualification checks completed • Qualification and professional membership verification with professional and educational bodies carried out • DBS checks outstanding where workers have started

	<p>and a count of calendar days incomplete</p> <ul style="list-style-type: none"> • Exceptions where references not taken and defaulted to DBS • Security vetting triage process behind service level agreement • Enhanced DBS not yet complete and time taken to complete • Hire with a criminal conviction or compliance issue' forms completed, in progress and outstanding • VISA/right to work expiry notification
Financial	<ul style="list-style-type: none"> • Cost breakdown per Assignment – as per the pricing schedule • Rate card reporting and benchmarking • Rate card vs. Cost of Hire report • Savings reports • Spend reports and trends per department, Service Recipients and The Authority • Spend per category for specified periods • Highlight report detailing outstanding AWR issues and resolution within defined periods • Pension adjustments outstanding • Other payment adjustments outstanding • Enquiries from HMRC • Statutory requests from police forces • Spend reports to Authorised Users by cost centre • Working Time Regulations (WTR) information as applicable • Annual spend based on Net and Gross pay rates • Temporary Worker rate band split per Business Area &/or Service Recipient • Tenure over 12 months – specifying % of overall Temporary Workforce • Total Temporary Worker FTE (including PSC Workers) • Split of Temporary Workforce per Directorate / per Service Recipient

	<p>Annual spend -</p> <ul style="list-style-type: none"> • Under £100 000 • £101 000 – £144 000k • £144 000 – £200 000 • £200 000 + • Rate band: • £0 - £100 • £100 - £200 • £200 - £300 • £300 - £400 • £400 - £500 • £500 - £600 • £600 - £700 • £700+
--	---

<p>Diversity and Inclusion</p> <p>-Upon request by Service Recipient & anonymized where required in line with GDPR requirements</p>	<ul style="list-style-type: none"> • Ethnic profile – The ethnic profile of Temporary Workers • Disability profile – Volumes of disabled and non-disabled interim Temporary Workers • Gender profile – Volumes of male and female Temporary Workers • Age profile of Temporary Workers • Transgender • Religion • Sexual Orientation • Nationality • D&I reporting by protected characteristic; by category / Service Recipient
<p>Market Update and Trends</p>	<ul style="list-style-type: none"> • Market intelligence • Trends • Future analysis
<p>Interface Reports</p>	<ul style="list-style-type: none"> • Error log reports for file transfers, including but not limited to – creation of mini master record in local system, transfer of approved time data for invoice creation, transfer of data for local costing (project codes etc.), update of local organization structure hierarchy for approvals
<p>Problem Management Reports</p>	<ul style="list-style-type: none"> • Recurring issues/incidents • Incident Severity Levels

APPENDIX 16

RSAS Rules

APPENDIX 17

On-site and Off-site Resource Further Details

Resource plan

	Role	FTE	Alignments	Location
On-site	Service Director	1	HR, SR Heads, Procurement	MPS 25% TfL 45% Other 30%
	Account Manager (TfL)	3	HR, SR Heads, HMs	TfL 100%
	Account Manager (MPS)	1	HR, SR Heads, HMs	MPS 100%
	Account Manager (Other SRs)	1	HR, SR Heads, HMs	LFC 16.6% MOPAC 16.6% LLDC 16.6% OPDC 16.6% LFB 16.6% GLA 16.6%
	Talent Pool Team Leader	1	SR Heads, HMs	MPS 25% TfL 45% Other 30%
	Talent Marketing Specialists	4	HMs, Candidates	MPS 25% TfL 45% Other 30%
	Recruitment Business Partners	9	HMs, Candidates	MPS 25% TfL 50% Other 25%
Off-site	Talent Acquisition Specialists	12	HMs, Candidates	London
	Talent Engagement Lead/Specialists	4	HMs, Candidates	London
	Account Coordinators	4	HMs, Suppliers	London
	HSQE Lead	1	HMs, Candidates, Suppliers	London
	Technology Manager	1	HMs	London
	Supplier Engagement Manager	1	HMs, Suppliers	London

