



Security Industry Authority

Licence Management Operating Manual

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Introduction

We have compiled this Licence Management Operating Manual for your business using or considering whether to use our Licence Management service. It gives you a step-by-step guide on how to obtain access to, and how to use, the Licence Management service.

1.0. Definition of Licence Management

You must be an approved contractor and you are required to meet an additional set of criteria and conditions. We provides your business access to additional online services that allows your business to make applications for new, renewal and additional licences (e.g. for a different sector) and to manage them on behalf of licensable individuals. A key component and benefit of this service is that your business is able to complete identity checks on behalf of applicants without them having to go to a post office.

By using this service you can act on behalf of licensable employees so long as the individual has consented. In exceptional circumstances, if your business has approval to use the Licence Management service you may make a request to act on behalf of individuals that are not direct employees but who are employees of other approved contractors and/or that are part of the same group of companies. See the Licence Management Exceptional Circumstances policy.

How do I access the Licence Management service?

Access to the Licence Management service will be subject to the following:

1.1 Licence Management Partnership Agreement

The Licence Management Partnership Agreement is our document and it is signed by both of us. This agreement details the criteria you will need to meet in order to be approved to use our Licence Management service and the conditions that you will need to adhere to once approved. The agreement should be signed by an appropriate senior representative who has the authority to bind your business.

There is one standard partnership agreement which applies to all approved contractors.

1.2 Code of Connection (Co-Co)

Our Code of Connection is a mandatory set of information security requirements that must be demonstrated before you can be approved to use our Licence Management service, and connect to our portal.

You are required to meet the requirements set out in the code of connection and you must complete the code of connection form specifying how your information technology and service controls meet a set of baseline requirements. These requirements are adapted from ISO 27001, a

framework for assessing risk published by the International Organisation for Standardisation, and Cyber Essentials Plus (a scheme designed to verify implementation of a set of basic technical controls to help organisations protect themselves against common online security threats).

You should follow the associated guidance when reviewing your information security arrangements and completing the code of connection. You must arrange for the form to be signed by an appropriate person within your organisation and submit it to us, along with a valid Cyber Essentials Plus certificate, with your application to use our Licence Management service.

1.3 Application and assessment to operate the Licence Management service

We need assurance that your business meets the Licence Management criteria before having authority to use the Licence Management service. All of the criteria and conditions can be found in Schedule 2 of the Licence Management Partnership Agreement.

You will need to submit an application to be approved to use the Licence Management service. Please use the ACS application form and tick the Licence Management box, including the completed and signed code of connection, and signed Licence Management Partnership Agreement and supply the Cyber Essentials Plus certificate.

When you submit your application we will firstly carry out a desk-top check against some of the criteria. If you are meeting our requirements at this point we will grant you eligibility, and advise you to arrange for your chosen ACS assessing body to assess against the Licence Management requirements at your next scheduled ACS assessment. The ACS self-assessment workbook incorporates the Licence Management criteria under the relevant ACS criteria. You must have a successful onsite assessment against the Licence Management criteria before we will approve your business to use the Licence Management service. Once you have had a successful assessment against the Licence Management criteria, we will review all of the information provided to make a decision to either: approve, refuse, defer, withdraw or approve with conditions your use of the Licence Management service.

We will write to you again stating in a letter the outcome of our decision which will be sent to the senior representative of your business.

1.4 Ongoing assessment to operate the Licence Management service

The annual ACS assessment will provide assurance about ongoing compliance with the Licence Management eligibility criteria and the conditions.

The self-assessment workbook incorporates the key Licence Management criteria. In addition, you should carry out your own internal audit (at least annually) to ensure that you continue to meet all of the terms of the Licence Management Partnership Agreement.

2.0 Setting up the business online account for submitting and managing licences

Your business’s online account requires individuals known as business users within your organisation to be set up, these individuals are those who submit and manage licence applications on your behalf.

There is no limit to the number of business users that can be linked to your business. There are three different types of business users. The table below details what each user type can do on behalf of your business.

As you already have an account set up for Licence Assist, we will contact you once you have been approved to use the Licence Management service and advise you of your next steps.

Note: You are not able to complete the upgrade to use the Licence Management service without our involvement.

2.1 Business user types

Business User Types	
User type	Definition
Super User	<p>A Super User may use all functions within the business account. As a minimum a business must always have one Super User set up.</p> <ul style="list-style-type: none"> • Invite business users to link • Invite operatives to link to your business (Note: This invitation expires after 48 hours) • Make applications on behalf of linked operatives • Manage linked operatives’ licences, including change of circumstances • Manage the details of the business online account – including payment details • Make and maintain watchlists through the Licence Status Checker • Manage correspondence between your business and us
Operator	<p>An Operator may:</p> <ul style="list-style-type: none"> • Invite an operative to link to your business (Note: the invitation expires after 48 hours) • Make applications on behalf of operatives • Manage linked operatives’ licences, including change of circumstances • Make and maintain watchlists through the Licence Status Checker • Manage correspondence between your business and us

Administrator	<p>An Administrator may:</p> <ul style="list-style-type: none"> • Invite business users to link (Note: the invitation expires after 48 hours) • Manage the details of the business online account – including payment details • Make and maintain watchlists through the Licence Status Checker • Manage correspondence between your business and us
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2.2 Key Staff

Super Users and Operators of the business are considered to be Key Staff and must meet the following criteria – the *Key Staff Criteria*:

- a) be screened and vetted to BS 7858
- b) be an employee of an approved contractor; or
 - only where agreed in advance with us in exceptional circumstances (such as business contingency), be temporary workers or contractors; or
 - only where agreed in advance with us, be specified employees of a specified approved contractor.

Any variance to this should be authorised by using the exceptional circumstances process.

2.3 Setting up your business’s first Super User

We will carry out this process for you. They will require some initial details to invite your first Super User.

- The Super User’s full name including middle name
- The Super User’s business email address i.e. annie@abcsecurity.com

It will not be acceptable to use personal email annie@gmail.com or generic email addresses Info@abcsecurity.com for your personal online account.

2.4 Setting up your business to use Licence Management services

Following the successful registration of your Super User, we will send an email to the first Super User inviting them to complete the final set up of their business and their first Super User details.

Once your Super User has completed the setup of their account they are ready to start inviting other business users to Link. (See Section 5)

2.5 Setting up payment details on your business account

Your business can pay for licence applications either by direct debit or credit/debit card.

Using the 'Our Business Details' in the business online account, you can set up your payment preferences as direct debit or credit/debit card.

If you are paying by credit or debit card, these details need to be entered per transaction.

If you are paying by Direct Debit you will need add your bank details to the business online account, then print and post the printed copy of the direct debit mandate to us marked for the attention of: Finance department, Security Industry Authority, PO Box 74957, London E14 1UG.

You should allow 10 working days for setup of a new direct debit instruction.

If you are already using licence assist or licence pay only, your existing payment details will be used for applications you make using the Licence Management service.

3.0 Linking to business users

Your business needs to establish links with two different types of users - the business user (these are the business people involved in the administration of licences and your business) and the operatives (the front line and non-front line operatives that are deployed by your business).

3.1 Business user link

The act of linking a business user (see business user types table) to the business allows the business users to administer licences on behalf of their operatives and manage the administration of your business online account.

A business user can only be linked to one business.

Should the business user link be broken, the full process will need to be repeated to allow the links to be re-established.

3.2 Setting up additional business users

The Super User is now ready to start inviting additional business users to link. To do this, they will send a linking invitation from their business account. If the business user has not yet set up their SIA online account they will need to do this.

Using the 'Business Users' tab on your business account, record the details of other people involved with the administration of licensing. To do this you will need their:

1. Full name
2. Business email addresses i.e. ben@abcsecurity.co.uk
3. User type - Super User, operator or administrator

A request for a business user to link to the business will time out after 48 hours after this time a further request will need to be made.

Note: this time includes non-working days (weekends and public holidays).

As business users are normally located within the same office, we recommend that this activity is conducted when both people are present and the new business user can respond immediately to the linking request.

When the information is recorded click 'Send Invite'. This will send the invite to the relevant business user by email.

3.3 A linking invite is received by a prospective business user

1. The invited business user will receive an email requesting them to sign onto their online account and either accept the link or decline.
2. If the business user will need to set up their online account if they have not already done.
3. The final stage in this process requires a different business user type, either super user or administrator, to confirm the link in 'Our Business Users'.

3.4 Removing business user status

The Super User is responsible for removing business users from the system. Reasons for requiring this service may be a change of role or if the individual has left the business and no longer requires access to the business account.

Note: This is the business's responsibility. If you do not remove business users who no longer require access to our online services, they will still be able to access the personal details of your operatives even though they may no longer be your employee. The business must have effective processes to ensure that business users are delinked promptly when they leave the business or when they no longer require access to online services.

To delete a business user:

1. Select the 'Business Users' tab.
2. Filter 'confirmed business users' to identify all the current confirmed business users.
3. Select the option to remove the business user.
4. From this point the business user can no longer undertake activities for your organisation.
5. The business user receives an email to confirm they have been de-linked.

4.0 Linking to an operative

Your business needs to establish links with two different types of users – your business user (these are the business people involved in the administration of licences and your business) and operatives (the front line and non-front line operatives that are deployed by your business).

4.1 Operative link

Linking an operative allows Super Users and operators to make applications and manage licences on behalf of the operative. At the point of linking the operative is required to confirm that they are content to provide this consent by accepting the terms provided in the linking process. This also includes the necessary consents for us to obtain the electronic copies of the applicant's criminal record from the Disclosure and Barring Service at the same time that they receive their copy.

After successfully completing the linking process, the business will be able to see and manage that individual's data. This consent allows us to make third party enquiries on their behalf during the application process. An operative can only be linked to one business.

Using their personal online account, your operative is able to keep informed of application progress and lifespan details and complete the following activities:

- Make applications on behalf of themselves;
- Cancel applications they have made themselves which have not yet been paid for.
- Manage and update personal information for their own licence;
- Manage correspondence with us;
- Manage an appeal;
- Once the operative has linked with their business they are no longer able to make a new or renewal application.

Note – As a business, you will not be able to continue with an application the individual has started prior to linking with you. In these instances the first application will need to be cancelled and a new one started by the business.

There is no limit to the number of operatives your business can link to.

At any time should an operative's link be broken, the full process will need to be repeated to allow the links to be re-established.

4.2 Setting up operatives

In your business online account licensable operatives are the individuals who are **licensed** to work within the private security industry. Unlike business users there are no user types for licensable operatives. Once you are linked to them you will be able to see all the sectors the operative is licensed (or applying to be licensed) to work in, this includes other sectors where you do not deploy them.

There can only be one link per individual, so if a licensed operative works for more than one business they will have to agree to which of those businesses they want to be linked to.

4.3 Business user links to an operative

Your operative will need to set up their own online account to accept your linking request. If they have not set up their online account prior to the business sending the linking invite they will be instructed to do so.

To invite operatives to be linked to your business you need to:

1. Remember only Super Users and operators can invite operatives to link to your business online account.
2. Access the business home page and select the 'People' tab.
3. Select 'create a new link' and enter the name and email address of the operative you wish to link to and mark the permission as full. This indicates you are a business using the Licence Management service and will require full access to work on behalf of the operative.
4. Click the 'Send an Invite' button on the screen. This will send an email directing them to their online account to accept or decline the linking request. They have 48 hours (including non-working days) in which to action this request.
5. The operative is also presented with a consent statement which confirms they are happy for the business to act on their behalf and that they consent to us conducting third party searches on their behalf. Without acknowledgement of these consent statements you will not be able link to them and act on their behalf.
6. The linked business can now make new applications or manage the personal information for the operative.

Note: the operative's email address can either belong to your business or be a private email address, but not a shared email address.

If an operative advises you that they have not received your linking request first check that you have made the request to their correct email address, if that does not resolve the issue please ask them to check their spam mail. You will not be able to make a further linking request for 48 hours, before making the second request please recheck the email address with the operative you are requesting to linking to.

4.4 Business user de-links from an operative

It is your business's responsibility to maintain accurate records. If a linked individual leaves your business you must de-link them from your business account. The de-linking process can be carried out by the individual or the business user. **However, you must have effective processes to ensure that individuals are de-linked promptly when they leave the business or when you no longer require access to their account.**

To de-link a licensed operative:

1. Select the 'People' tab on the business home page.
2. Setting the filter to 'accepted' to view all the confirmed operatives who are linked to your business.
3. Against each individual's record you will see an 'Actions' drop down.
4. Select the 'Actions' drop down which presents the options of *Create, Contact or Unlink*. Select unlink.

You will then be asked to confirm that the link should be removed. Remember once the link has been removed you will need to go through the full linking process if you need to re-link. The operative will be automatically informed, that they have been de-linked from the business.

4.5 Operative de-links from their business

Should your operative decide they want to de-link from your business, they can do this from the 'My Account' tab in their personal account. Your business will be alerted in this event through a notification to your business account. The de-linked operative will be listed in your 'Our People' tab as 'Withdrawn' and their licence details will be removed from the 'Licences' tab. If you have created a watchlist with this operative, they will remain on the watchlist. You will have to delete them separately from the watchlist if you no longer want them to be included.

5.0 Individuals who are both business users and operatives

There will be instances where an individual performs the role of a business user as part of their role within a business and is also engaged as an operative. In these instances you will need to register your online account using your business email address i.e. ben@abcsecurity.co.uk. Through this, you will have access to the rights of a business user as well as manage your own licence requirements. Should you leave the employment of the business where you are registered as a business user, this role will be removed as part of your business's own leaver process. In this instance, your business email address will be deleted and you will be required to amend the email address held against your own licence record within your personal online account. You can complete this from the 'My Account' tab in your personal online account.

6.0 Contacting us

When you are using the Licence Management service, you must exchange any information in relation to the applicant or provide any documentary evidence using your business online account. This could be via the 'Contact SIA' facility, raising a service request for a change of circumstances or responding to a request for further information.

Please do not use email as the information is not protected.

Sending information through your online business account to us will mean that personal information is protected as it is transferred securely through your secure account and information is shared directly with our team who are managing your application(s).

You can upload documents to support your query / request. The maximum file size we will accept is 10mb and any files you upload must be one of the following file types: jpg, jpeg, pdf, doc, docx, csv.

7.0 Making a licence application

Through your business online account you are able to make applications for new, renewal and additional licences. Prior to making an application you must ensure the individual you are applying on behalf of is linked to your business. If the individual is not linked follow the process in 'Business User Links to an Operative'.

Linking requests can be made by a Super User and operator. If the operative is unable or unwilling to link to your business, they will have to make an application through their personal online account. If they do not link, and this is their first licence application, the individual will need to go to a post office to have their identity documents checked, a photo taken and to pay the licence fee.

When you are making an application, whether it be a new, renewal or additional application you must always remind the applicant either verbally or in writing that we will conduct third party enquiries during the processing of an application. These are the searches referred to in the consent statement that the operative agrees to during the linking process.

If during the linking process your operative has not consented to us receiving the electronic copy or the copy being received at the same time as they do, you will still be able to submit the application. The applicant will be contacted by us and they will have to do a manual paper application to DBS and this will increase the application processing time.

7.1 Identity verification

Before making an application you must complete the identity verification process for the operative.

The purpose of identity checking is to establish the true identity of an individual, (for the purposes of licensing and deployment into a licensable role, including verifying their right to work in the UK) through the examination of a range of documents presented by the individual.

In addition, the purpose is to ensure the integrity of further checks required as part of our licence application process, including the criminality and other checks that confirm an individual's living/identity footprint.

When using the Licence Management service, the business should follow good practice guidelines - including the use of certain tools to help verify documents; referral to GOV.UK or other websites for information about different passport types and their specific features.

Should your business be unable to verify an individual's identity, you must advise the individual accordingly and not progress their licence application. If the individual still wants to make a licence application, they can do so independently.

The business must have processes in place setting out how to deal with situations where identity cannot be verified, which must include reporting to us any individual they suspect of acting fraudulently.

All documents used within the identity verification process must be originals, and authenticated copies (i.e. dated and signed to confirm the original has been seen) must be retained. Authenticated copies must be retained for seven years following a licence applicant leaving your business.

If any of the documents you receive are not in English you must be provided with both the original and an English translation from an accredited translator.

7.2 What to do if fraud is suspected

If you cannot verify an individual's identity as you believe documents to be fraudulent, you should refuse to act on behalf of the individual and not submit an application.

Your business must have its own policy and process to follow for reporting suspected fraudulent identity documents.

Should a fraudulent document be identified you must also report this to us and advise the document type, the applicant's name, address and which authority you have reported this to. Please retain a copy of the fraudulent document.

7.3 List of acceptable documents

The applicant will need to provide you with:

Three separate documents to prove their identity and current address.

One identity document from Group A and two documents from Group B. **At least one document must show their current address and at least one document must show their date of birth. All documents must be originals.**

The licence application will be made in the applicant's full name, including middle names, and these should be validated to the full name as detailed on the Group A document(s) provided.

The list of Group A and B documents is shown below:

7.4 Group A documents

Group A documents confirm the applicant's identity.

Group A		
Document	Must be	This information must match with the information presented on the application
Passport	<ul style="list-style-type: none"> • Original document • Signed • In date 	<ul style="list-style-type: none"> • Passport number • Full name • Date of birth • Nationality • Town of birth
UK driving licence - photo card	<ul style="list-style-type: none"> • Original document • Signed • In date • Legible driver number • <u>Presented with the paper counterpart if issued in Northern Ireland</u> 	<ul style="list-style-type: none"> • Full name • Date of birth • Place of birth • Driver's licence number
UK Birth Certificate, issued within 12 months of birth	<ul style="list-style-type: none"> • Original document • Not a photocopy 	<ul style="list-style-type: none"> • Date of birth • Town of birth • One of the names provided (not necessarily current name. Must match one of the other supporting documents (e.g. marriage certificate or deed poll).
UK biometric residence permit card	<ul style="list-style-type: none"> • Original • In date 	<ul style="list-style-type: none"> • Full name • Date of birth

7.5 Group B documents

Group B documents confirm the applicant's current address.		
Document	Must be	This information must match with the information presented on the application.
Utility bill (gas, electric, telephone, water, satellite, cable)	<ul style="list-style-type: none"> • Issued to the current address • Less than three months old • <i>Only one utility bill per application</i> 	<ul style="list-style-type: none"> • Name • Current address
Valid UK firearms' licence with photo	<ul style="list-style-type: none"> • In date • Photo version 	<ul style="list-style-type: none"> • Name • Date of birth • Current address
Driving licence photo card issued by the DVLA in Northern Ireland. (cannot be used as a group B if Driving Licence has been used as a Group A.	<ul style="list-style-type: none"> • Signed • In date • Legible driver number 	<ul style="list-style-type: none"> • Name • Current Address
Current UK driving licence – old green paper version (not the paper counterpart to a photo card)	<ul style="list-style-type: none"> • Signed • In date • Legible driving licence number 	<ul style="list-style-type: none"> • Name • Date of birth • Place of birth • Current address • Driver licence number
P45 statement of income for tax purposes on leaving a job issued in the last 12 months	<ul style="list-style-type: none"> • Issued in the last 12 months 	<ul style="list-style-type: none"> • Name • National Insurance Number • Address (if present on the P45)
P60 annual statement of income for tax purposes	<ul style="list-style-type: none"> • Issued in the last 12 months 	<ul style="list-style-type: none"> • Name • National Insurance number • Date of birth (if present on the P60) • Current address (if present on P60) •

Bank statement	<ul style="list-style-type: none"> • Issued to the current address • Less than three months old. 	<ul style="list-style-type: none"> • Name • Current address
Building society statement	<ul style="list-style-type: none"> • Issued to the current address • Less than 3 months old 	<ul style="list-style-type: none"> • Name • Current address
Mortgage statement	<ul style="list-style-type: none"> • Issued to the current address • Issued in the 12 months 	<ul style="list-style-type: none"> • Name • Current address
Pension statement	<ul style="list-style-type: none"> • Issued to the current address • Issued in the last 12 months 	<ul style="list-style-type: none"> • Name • Current address
Endowment statement	<ul style="list-style-type: none"> • Issued to the current address • Issued in the last 12 months 	<ul style="list-style-type: none"> • Name • Current address
ISA statement	<ul style="list-style-type: none"> • Issued to the current address • Issued in the last 12 months 	<ul style="list-style-type: none"> • Name • Current address
Letter from the Department of Work and Pensions (DWP), HM Revenue and Customs, Letter from Employment service or Local Authority	<ul style="list-style-type: none"> • Issued to the current address • Issued in the last three months • Issued on DWP headed paper • More than one letter can be used as long as each is issued by a different authority 	<ul style="list-style-type: none"> • Name • Current address
Credit card statement	<ul style="list-style-type: none"> • Issued to the current address • Less than 3 month old • More than one statement can be accepted as long as each is issued by a different credit card company 	<ul style="list-style-type: none"> • Name • Current address
Council Tax Statement	<ul style="list-style-type: none"> • Issued in the last 12 months 	<ul style="list-style-type: none"> • Name • Current address

7.6 Verify identity documents

We have to satisfy the requirements of other bodies for carrying out checks e.g. for criminality, therefore document checks must also comply with their requirements and include the following:

- You must only accept valid, current and original documentation.
- You must not accept photocopies.
- You must not accept documentation printed from the internet e.g. internet bank statements, utility bills.
- You should in the first instance, seek documents with photographic identity (e.g. passport, photo driving licence, etc.) and for this to be compared against the applicant's likeness.
- All documents must be in the applicant's current name as recorded in the application
- You must ensure that the applicant declares all previous name changes, and provides documentary proof to support the change of name, if the *Group A* document declared is still in the previous name.
- A document from each of the groups should be included only once in the document count e.g. do not accept two bank statements as two of the required documents, if they are from the same bank.
- You should not accept the foreign equivalent of an identity document if that document is listed as 'UK' on the list of valid identity documents.

7.7 Name changes

There may be situations where an applicant does not have a valid *Group A* document due to a recent name change. In these circumstances one of the following documents issued at the point the name is changed must be checked, and must always be an original.

Name changes	
Document type	Description and checks
Deed Poll	A deed poll is a legal document that proves a change of name. There is not a standard format for this document. This document must state their full previous name, and their full current name as well as the date they started using their current name.
Marriage certificate	The individual's current name may be their spouse's name, or may be a variation of their spouse's name.
Civil partnership certificate	The individual's current name may be their spouse's name, or may be a variation of their spouse's name.
Decree absolute	The individual has not previously provided documentation confirming the name they have changed back to, then they would have to provide this along with the decree absolute. This may be their marriage certificate, birth certificate or an expired passport/driving licence.
Final order	The final order is the legal document that ends a civil partnership. If the individual has not previously provided documentation confirming the name they have changed back to, then they would have to provide this along with the decree absolute. This may be their civil partnership certificate, birth certificate or an expired passport/driving licence.
Scottish birth certificate	<p>This must be an original birth certificate issued by the National Records of Scotland which shows the new name as well the original name.</p> <p>As this document is not issued within 12 months of the date of birth it is not considered a valid <i>Group A</i> document under the normal document requirements.</p>

Where an individual who has changed their name is unable to provide evidence using one of the documents above, they will be treated as an exception case and will need to apply directly to us.
 Name variations – Group B documents only.

There may be situations where Group B documents do not exactly match the full name on the application. There are some examples below where you may accept or may not accept a Group B

document that does not match the full name - this is only acceptable for Group B documents. Group A documents must always match exactly the name recorded in the application.

7.8 Acceptable name variations:

Variation	Example
Document type	Description and checks
Group B document uses a common spelling/or name variant/shortened version of the name	E.g. Midgley/Midgeley, Rogers/Rodgers, Catherine/Cathryn, Chris/Christopher
Group B document refers only to a title or initial	E.g. a letter addressed to Mr Smith or Mr J Smith

7.9 Variations that are not acceptable:

Variation	Why is this not acceptable
Document type	Description and checks
Group B document uses a declared middle name	The middle name must be included in the application and will need to be validated to the Group A document
Group B document uses shorten form of a name NOT declared	If we do not know about the different use of a name, it is not acceptable on documents

7.10 Address variations

Address spelling variations and errors	Acceptable /not acceptable	Examples
Document type	Description and checks	
Mismatch between the current address document house number and application	Not acceptable	If it is the wrong house number it is not valid
Minor spelling mismatch between current address document and application	Acceptable	This assumes it is obviously the same street/town and the postcode matches
Scottish Tenement address may be recorded in different format	Acceptable	1/2, 30 Hope Street; or

		Flat 1/2, 30 Hope Street; or Flat 12, 30 Hope Street
--	--	--

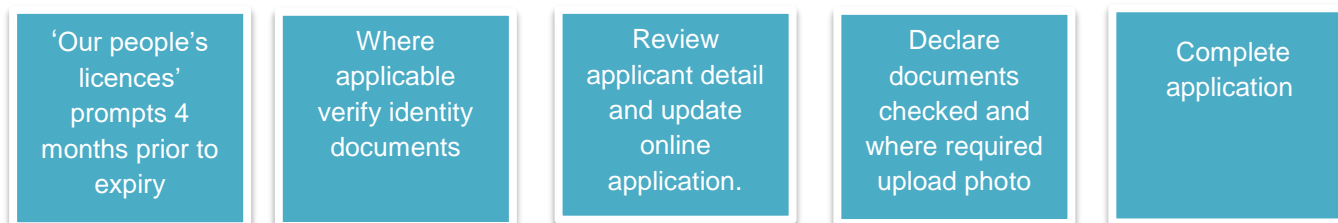
7.11 Suggested additional material

As part of your identity checking, you are encouraged to make use of the latest guidance tools or documents that provide key points to look for when trying to confirm that a document is genuine.

Examples include:

- The Disclosure and Barring Service: <https://www.gov.uk/employers-checks-job-applicants>
- General Register Office Guide to Birth Certificates: <https://www.gov.uk/government/publications/family-tree-guide-to-birth-certificates>
- UK Visas and Immigration and employer helpline: <https://www.gov.uk/check-job-applicant-right-to-work>
- Action Fraud UK: <https://www.actionfraud.police.uk/>
- HM Government minimum requirements for the verification of identity of individuals: <https://dbsdirect.co.uk/resources/HMG%20Verification%20of%20the%20identity%20of%20individuals%20V2.0%20Jan%202003.pdf>
- Passport checks: www.gov.uk/government/uploads/system/uploads/attachment_data/file/309177/Basic-passportchecks.pdf
-

8.0 Make a renewal application



Your online account will prompt you in the Licences eligible for renewal tab on your home screen when a renewal is due for a linked operative four months prior to the expiry of their current licence.

Both you and the operative will also have been alerted a message in your online account.

There are five steps to make a renewal application, but if the applicant is not linked to your business, you will have to make a linking request before you can make the application, see **Business user link to an operative**.

For all renewal applications you will need to advise the system of the up-to-date Group A and Group B documents you have used to confirm the applicant's identity and address.

Submitting applications with out-of-date information will require us to seek further clarification with you or the operative and slow down the processing of the application.

If the applicant has changed their home address since the original application was made, you must confirm on the system which documents you have used to check the new address.

When making a renewal application you must remind the applicant either verbally or in writing that we will conduct 'fit and proper checks' which will involve a criminal records' check.

The applicant's qualifications must be up-to-date before a renewal can be submitted.

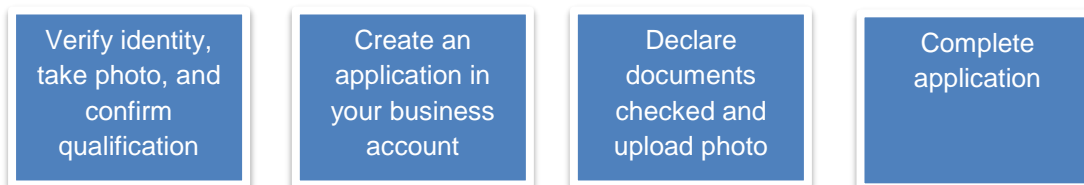
When a new photo is required of the applicant you will be prompted in the document check screen by a * alongside 'Upload applicant photo'.

When making an application using the Licence Management service the business must start and finish the application in order to retain control of the application process. If the operative is not linked to the business and starts their own application, the system will process the application as if being made directly from the operative and the applicant will be required to go to a post office for a photograph and identity verification and you will not be able to make the payment on their behalf.

Once all of the information has been recorded you will have the opportunity to review the details before confirming they are correct.

Confirming the application does not mean that you have paid for it - see **Pay for Licence Application section 19**.

9.0 Make a new application



The four steps above are the stages to make an application.

To make new application from the home screen in your online business account select Linked people, from the entry for your linked operative click on the Action button and select 'Start a New Application'

The 'Start an Application' option within your business online account will guide you through the information that we require.

If the applicant is not linked to your business, you will have to make a linking request before you can make the application, see **business user link to an operative**.

For all new applications you will need to advise the system of the up-to-date Group A and Group B documents you have used to confirm the applicant's identity and address.

For all new applications you will need to upload a photo of the operative, the photo must meet the standard as detailed on our website and in the relevant section of this manual.

Submitting applications with out-of-date information will require us to seek further clarification with you or the operative and slow down the processing of the application.

The applicant's qualifications must be up-to-date before the application can be submitted.

When making an application you must advise the applicant either verbally or in writing that we will conduct 'fit and proper checks' which will involve a criminal records check.

You must manage the application process from the start to the end. If the operative is not linked to the business and starts their own application, the system will process the application as if being made directly from the operative and the applicant will be required to go to a post office for a photograph and identity verification and you will not be able to make the payment on their behalf. Once all of the information has been recorded you will have the opportunity to review the details before confirming they are correct.

Confirming the application does not mean you have paid for it - see **Pay for Licence Application**.

10.0 Make an additional sector application



The five steps above are the stages to make an application for an additional sector.

To make an additional sector application from the home screen in your online business account select Linked people, from the entry for your linked operative click on the 'Action' button and select 'Start a New Application'

The 'Start an Application' option within your business online account will guide you through the information that we require.

If the applicant is not linked to your business, you will have to make a linking request before you can make the application, see **business user link to an operative**.

For all additional sector applications you will need to advise the system of the up-to-date Group A and Group B documents you have used to confirm the applicant's identity and address.

When a new photo is required of the applicant you will be prompted in the document to check screen by a * alongside 'Upload applicant photo'.

Submitting applications to us with out-of-date information will require us to seek further clarification with you or the operative and slow down the processing of the application.

The applicant's qualifications must be up-to-date before the application can be submitted.

When making an application you must advise the applicant either verbally or in writing that we will conduct 'fit and proper checks' which will involve a criminal record's check.

You must manage the application for the Licence Management service process from the start to the end. If the operative is not linked to the business and starts their own application, the system will process the application as if being made directly from the operative and the applicant will be required to go to a post office for a photograph and identity verification and you will not be able to make the payment on their behalf.

Once all of the information has been recorded you will have the opportunity to review the details before confirming they are correct.

Confirming the application does not mean that you have paid for it - see **Pay for Licence Application**.

11.0 Cancelling applications

There are three circumstances where an application can become cancelled.

Applications which are paid for and subsequently cancelled due to non-activity or the withdrawal of a link between the business and the operative are not subject to refund.

11.1 Cancelled due to non-activity

A licence application will automatically become cancelled when there has been no activity on the application for more than 90 days. Post 90 days a new application will need to be started.

11.2 Cancelled following withdrawn link

A licence application will automatically become cancelled if either the business or the operative break link that exists. If a link is broken a new application will need to be started.

11.3 Cancelled by user

When an application has been started inadvertently it can be cancelled by the business. To cancel an application go to the Applications tab on from your home screen the 'Cancel' button will appear alongside the application details. Only applications in the status of submitted or Next Steps (not paid for) can be cancelled. For each individual there can only be a maximum of six application cancellations in a three-year period.

12.0 Front line/non-front line licence applications for directors and business users

Business users cannot submit an application for a front line or non-front line licence on behalf of themselves.

Directors of the business operating the Licence Management service cannot submit an application on behalf of themselves.

Business users cannot submit an application on behalf of a family member/spouse.

In any of the above circumstances, the application should be submitted by a Super User or operator who is not related to the applicant.

13.0 Licence Dispensation Notice (LDN)

Approved contractors may be given special dispensation to deploy staff that have a licence application pending. i.e. your application is at the '*checks in progress*' stage

As a business using the Licence Management service you are only able to monitor the status of applications that your business is processing.

If you need to check the status of an application that an individual has made themselves direct to us, and/or you wish to deploy that individual using licence dispensation, you will need to obtain evidence that the application has reached '*checks in progress*'.

To do this you will need to obtain one of the following:

- a. a screenshot of the notification in the individual's online account titled '*Your Application is Complete and will now be Processed*'
- b. a screenshot of the application in the individual's online account showing the '*Checks in Progress*' status; or
- c. a copy of the letter received by the individual titled '*Your Application is Complete and will now be Processed*' (in the case of online exceptions).

You will be required to keep this evidence on file.

14.0 Licence photograph

Your online business account will inform you when a photo is needed for an applicant.

A photograph is renewed every 8 years and 8 months or if in your opinion the applicant has changed appearance dramatically.

Note - Please only load up a photograph when a red asterisk is appearing alongside upload photo in the document check screen.

14.1 Photograph checklist

Your photograph must be:

- a portrait colour passport style
- sharp focus and clear
- a true likeness of the operative you are applying on behalf of
- have a plain white background

We will not accept the following:

- Self-taken photographs where the image has been stretched or squeezed to fit the measurements required
- Black and white photos
- Photographs that are too close to the camera
- Photographs that are too far away (e.g. showing the subject from the waist up)
- Photographs of the operative wearing headgear unless they wear a head covering due to their religious beliefs or ethnic background

- Photographs of the applicant wearing head equipment such as mobile phone 'hands free' or radio earphones
- Photographs of the applicant wearing sunglasses or darkened lenses (they can wear clear everyday glasses)
- Over-exposed photographs in which the face is too light
- Under-exposed photographs in which the face is too dark or facial features are unclear
- Photographs with a dark, curtained or coloured background
- Photographs in which the face is obscured by shadow.

Examples of photos that we can accept are show on our website at <https://www.sia.homeoffice.gov.uk/Pages/licensing-photograph-checklist.aspx>

14.2 Photo specification

The specification for the photograph is 384 pixels width and 480 pixels height and a dpi of 96 or greater.

The photograph should be uploaded as a JPEG file, if you need to resize the photo please refer to the photo editing guidelines.

Your online business account will check that the photo is of the correct size but is not able to check that it meets the criteria above. We check all new photos are checked and an additional photo will be requested when the criteria is not met.

14.3 Photo upload

The photo is uploaded in the *Document Check Declaration* screen - before pressing 'save' on this page check the correct photo has been uploaded that meets the published standard.

Should you discover that the incorrect photo has been uploaded this can be removed using the remove option on the document check declaration screen page.

14.4 How to send us an additional photo

We will reject any submitted photos that do not meet the above standard and you will be requested to submit a photo that meet the standards detailed above. This will impact the processing time of the licence as we will not be able to make a decision until we receive a photo that meets the standard.

15.0 Applications that require evidence of an overseas criminal record check

If the applicant has lived overseas or has spent six continuous months or more outside of the UK, they must provide evidence of a criminal record check from the relevant country or countries. The checks need to cover the five years' prior to the application date.

The system will identify when evidence of an overseas criminality is required for an application and advise the applicant and the business at the point of submission. We must receive the overseas' criminality certificate within 90 days of the application submission. After 90 days the case will be withdrawn.

The original document(s) must be translated into English and sent to us. Please ensure that our 13-digit application reference is given with the submission of the overseas' criminality check.

Once we have completed our checks we will return the original document(s) to the applicant.

16.0 Applications that require Right to Work checks

As an employer you need to be assured that the individuals that you are making applications for have the Right to Work in the UK.

For more information regarding your responsibility in relation to checking an applicant's Right to Work status use this link:

Right To Work - Employer Checking Service:
<https://immigrationstatuscheck.service.gov.uk/employers/>

Where required we will also conduct a Right to Work check.

17.0 Group A exemption

Should you identify that the applicant you are applying on behalf of is not in possession of any of the prescribed Group A documents you will need to ask them to take ownership of the application and apply to us through their personal online account for a Group A Exemption.

Once we have approved the Group A exception you will be able to complete the application confirming the five Group B documents that have been verified. At least one of the Group B documents should confirm the applicant's current address and one document the applicant's date of birth.

In these circumstances the applicant or business must then forward the five Group B documents to the SIA. Until we receive these documents we will not be able to progress the application.

18.0 Address exception

Where an applicant does not have five-year address history this maybe because they were of 'No fixed abode' for a period of time you will need to apply for an address exception, you can apply for this on their behalf from the address history screen. It will take us up to 10 working days to process the address exception and during this period you will not be able to progress the application.

Note – Living overseas for six months or more does not constitute an address exception and the applicant must declare addresses overseas and obtain an Overseas Criminality Certificate.

19.0 Pay for licence applications

A business using the Licence Management service can pay for licence applications either by direct debit or by credit/debit card. They can pay by single item or in a batch. We will not start to progress work on an application until payment has been made.

To view the applications that have been completed and are awaiting payment click on the 'Applications' tab in your business account and view applications awaiting payment. Select the licences you want to pay for. If you wish to pay for all applications listed then select the check box in the field title area. Having chosen the applications you wish to pay for click 'Pay Now'.

Once payment has been made an email confirmation will be sent to the business user and a notification to your business that payment has been made.

20.0 Watchlists

The licence status checker tool allows you to develop watchlists to monitor licensed individuals. The information that is used to form a watchlist comes directly from the register of licence holders and is publically-available information.

20.1 Create a Watchlist

To create a watchlist click on 'Watchlists' and follow the instructions to name and describe the watchlist. Watchlists created by a person in your business can be viewed by all other users within your business.

20.2 Add individuals to a Watchlist

To add individuals to the watchlist you need to search using the licence number or licence name, sector and date of birth. Remember, a watchlist does not show applications that are currently being processed; it only shows those licences that are included on the register of licence holders.

20.3 Bulk upload individuals to a Watchlist

To use the bulk upload function you must store the licence numbers you want to add in a comma separated values (CSV) file first. One way to do this is to put them in an Excel spreadsheet then use 'Save As' to store the file in a CSV format.

Selecting the 'Watchlist' tab in the business online account will allow you to see all the watchlists set up by your business; alongside each watchlist is an edit button to upload a bulk list.

20.4 How will I know my Watchlist has been created successfully?

A message will be sent to Your Messages in your business account to confirm that your watchlist has been created. The message will confirm:

- How many licences are in your watchlist at the point of creation.
- If there were any licences that failed to upload, this may be because the licence has now expired, been cancelled or replaced. You will need to investigate these instances with the operatives.
- Any duplicates by advising you the licence number already exists.

20.5 Viewing a Watchlist

The watchlists for the business are all displayed in the 'Our Watchlist' page, the number of licences within the watchlist is displayed within the watchlist itself.

To view a watchlist click on the *Actions* tab alongside your watchlist entry. You will be presented with the full detail of your watchlist.

You can search the watchlist by:

- First name
- Surname
- Licence number

You can sort the watchlist by:

- Surname
- First name
- Licence sector
- Role
- Expiry date
- Status as of date

The watchlist provides a view of the information held on the register of licence holders. To help you manage those licences that expire the watchlist will detail licences for three months after their expiry date as *Non Active*.

The following status are shown on the watchlist:

Watchlist status	Definition and next action
Document type	Description and checks
Active	There is a current active licence for the licence number you have loaded. And therefore you can deploy the individual who holds this licence.
Non Active	There is not an active licence for the licence number you have uploaded and therefore you cannot deploy the individual who holds this licence. Please investigate with the operative.
Revoked	There is a revoked licence for the licence number you have loaded and therefore you cannot deploy the individual who holds this licence. Please investigate with the operative.
Suspended	There is a suspended licence for the licence number you have loaded and therefore you cannot deploy the individual who holds this licence. Please investigate with the operative.

Replaced and cancelled licenses are not shown on the watchlist but will show as licences which failed to upload in the message you received when creating the watchlist.

20.6 Delete a Watchlist

Selecting the 'Watchlist' tab in your business online account will allow you to see all of the watchlists set up by your business; alongside each watchlist is a delete button should you wish to delete a watchlist.

20.7 Delete individuals from a Watchlist

If you wish to delete an individual on a watchlist you need to go to the 'Watchlist' tab - alongside each watchlist is an edit button. Click the edit button to present all of the individuals who are listed on the watchlist and here you can delete any individuals you no longer wish to be included.

21.0 Managing an operative's licence

You can manage certain personal details of the individuals linked to you, these include:

- Change of name
- Change of address
- Change of phone number landline or mobile
- Request replacement licence
- Changes to criminality
- Changes to mental health
- Changes to Right to Work status.

To make these changes use 'People' tab from the business online account view, then search by the forename or surname for the operative you wish to change details for. When you have located him/her, click the action button and select contacts. You will then be presented with the contact details for you to change.

There is one detail which can only be changed by the applicant - their email address.

If the operative makes you aware of a change to their email address you must ask them to sign into their online account to make the changes.

Should the operative make you aware that they have changed gender they should be referred to our website. Due to the sensitivity of this change we deal directly with the individual.

Note: When managing an operative's licence please remember to always contact us or upload any documents we require using 'contact SIA' within your online business account. You should not need to email personal information or documents to us, except in exceptional circumstances, in which case they must be encrypted.

22.0 Request a replacement licence card

You can make a request for a replacement licence card if an operative you are linked to, has lost, or had his/her card stolen.

Before applying for a replacement licence card you must ask the operative if they reported this to the police and are in possession of a crime number. You must retain the crime number for future reference should it be required.

To order a replacement card go to the 'Licences' tab, search for the operative and click on 'Apply for Lost Licence'. You will be asked to provide the reason why you need the replacement and the crime reference number if relevant.

In order to reduce the potential for 'lost licences' to be falsely claimed and remain in circulation, your business must satisfy itself that the reason for the replacement card is legitimate and be able to demonstrate due diligence e.g. the business could require the individual to provide a signed statement to justify the request.

All replacement licence cards are sent directly to the operative.

Should at a later date the card be found then it must be returned to us.

23.0 Business continuity

Our self-service website is hosted on secure cloud technology approved for use by government departments'. Each component of the system has its own built-in safeguards. This resilient configuration is replicated within a second data centre to ensure continuation of services. The data centres form part of the UK critical national infrastructure. The solution has a return to operation (RTO) of five hours and a recovery point objective (RPO) of one hour with a minimum of 99.5% availability in any one month.

24.0 Licence Management annual performance targets

Businesses using the Licence Management service must meet the following performance targets:

- 99% of licence applications must be correctly completed when submitted to us;
- and 99% of licence applications must pass our internal identity and photograph-quality checks.

Your business is required to monitor its performance as part of its own internal audit and quality monitoring – see **Partnership Agreement Schedule 3,c9.2**

25.0 Sanctions

Our Licence Management sanctions framework sets out the options we have to manage approved contractors that are in breach of the Licence Management Partnership Agreement, to ensure that the business is either brought back to compliance, or has its approval to use the Licence Management service withdrawn.

26.0 Exceptional circumstances

There are a number of circumstances considered to be exceptional where you may request authorisation to act contrary to the terms and conditions of the partnership agreement (including the code of connection, Licence Management Operations Manual, eligibility criteria and conditions).

The exceptional circumstance request should be submitted to our Customer Support team using your online business account, and selecting '*I want to make a business enquiry*'.

Please see the Licence Management service exceptional circumstances policy and form.

27.0 Service termination

There may be instances where either we decide to terminate the Licence Management service and thus the Licence Management Partnership Agreement.

27.1 If you choose not to renew your ACS approval

In this instance access to the Licence Management service will cease on the same day that the ACS approval ceases. All links between the operative and the businesses will cease, and the operatives and we will advise them that they will have to complete any outstanding licensing activities themselves as their business is no longer acting on their behalf.

27.2 We withdraw approved contractor scheme approval from your business using the Licence Management service

In the instance where we withdraw the ACS approval, the business is given 21 days to appeal the decision. During the period the business can still operate as an approved contractor including using the Licence Management service.

Once the 21-day period has passed the business will no longer be able to use the Licence Management service. Unlike the ACS approval, there is no right of appeal to a court for the additional Licence Management service. All links between the operatives and the business will cease and the operatives and we will advise that they will have to complete any outstanding licensing activities themselves as their business is no longer acting on their behalf.

Should the business wish to appeal to the court in relation to us withdrawing ACS approval, then they have the right to do this. If the court decides the business can continue to be an approved contractor, then we will review the ability for the business to continue to use the Licence Management service on a case-by-case basis.

27.3 We have reason to terminate the Licence Management Partnership Agreement

In the instance where we have reason to terminate the Licence Management Partnership Agreement and therefore withdraw your business's access to the Licence Management service, we will send the business an *Intention to Terminate* letter. You will have 21 days to appeal with mitigation. Once the 21 day period has passed (or if an appeal is unsuccessful) your business will no longer be able to operate the Licence Management service. All links between the operatives and the business will cease and we will advise the operatives that they will have to complete any outstanding licensing activities themselves as their business is no longer acting on their behalf.

Note: This differs from us ceasing to offer the Licence Management service to any business. This unlikely event is covered in the Licence Management Partnership Agreement and is subject to a minimum, three-month notice period.

27.4 We have reason to suspend use of Licence Management service

In the instance where we have reason to suspend your business's access to the Licence Management service, we will notify the business and suspend access to the Licence Management service immediately. All links between the operatives and the business will cease and the operatives and we will advise that they will have to complete any outstanding licensing activities themselves as their business is no longer acting on their behalf.

27.5 The business approved to use the Licence Management service chooses to no longer operate the Licence Management service

In the instance where you choose to no longer operate using our Licence Management service you will need to notify us, and provide notice as detailed in our Licence Management Partnership Agreement. Should your business wish to operate either *licence assist* or *licence pay only*, you will need to contact us to arrange for the appropriate system set up.

27.6 The business approved to use the Licence Management service ceases to trade

If your business is using our Licence Management service and it ceases trading, the service would be withdrawn immediately and any existing individual links broken.

Any applications that have not been submitted will need to be resubmitted by the applicant. The applicant will only be able to take ownership of the application if they started the application in the first place.

28.0 Acquisitions and mergers

If at any time your business changes status and is using the Licence Management service you must let us know.

28.1 Two businesses, each approved to use the Licence Management service, merge

If two businesses approved to use the Licence Management service merge, the new entity would retain its use of our Licence Management service without necessarily requiring further checks (unless the headcount increased so significantly as to cast doubt on the business's ability to process the new volumes).

A new ACS application with the Licence Management service reapplication would be required where a new legal entity is created.

28.2 A business approved to use the Licence Management service merges with a business who does not

If a business using the Licence Management service merges with a business which is not approved to use the service, we will consider the circumstances on a case-by-case basis. We may wish to impose

restrictions or sanctions until they are satisfied that the entity meets the requirements of the Licence Management Partnership Agreement.

A new ACS application and agreement and a new Licence Management service application will be required if a new legal entity is created.

28.3 A business approved to use the Licence Management service acquires a business that is not approved to use the Licence Management service

Where a business approved to use the Licence Management service acquires a business which is not approved to use the Licence Management service, the acquiring business will retain its use of the Licence Management service without further checks (except where the headcount increased so significantly as to cast doubt on the business's ability to process the new volumes – in which case further checks may be required).

28.4 A business which is not approved to use the Licence Management service, acquires a business who is approved to use the Licence Management service

Where a business - which is not approved to use the Licence Management service - acquires a business with approval to use the Licence Management service, the approval (of the acquired business) to use the Licence Management service would be withdrawn. It is the responsibility of the acquired business to inform us of the change of status.

If the acquiring business wishes to apply to use the Licence Management service, it would need to make a fresh application to us.

29.0 Licence Management Support

If you use our Licence Management service you will be supported on a day-to-day basis by our customer support team for technical and procedural enquiries. Any enquiries should be made via your online business account and selecting '*I want to make a business enquiry*'.

Appendix A

Licence Management Exceptional Circumstances Policy

Background

There are a number of circumstances considered to be exceptional where your business may request authorisation to act contrary to the terms and conditions of the Licence Management Partnership Agreement (including the code of connection, Licence Management Operating Manual, eligibility criteria and conditions).

These relate to:

I. Key Staff

Eligibility criterion I.1.1

[The approved contractor must] have individuals working within the approved contractor's business that meet the *Key Staff Criteria*

and

Condition 5.1.1

[The approved contractor shall] ensure all *Key Staff* processing licensing applications meet the *Key Staff Criteria*

'*Key Staff*' means:

- a) the employees of the approved contractor; or
- b) only where agreed in advance with us in exceptional circumstances (such as business contingency), be temporary workers or contractors; or
- c) only where agreed in advance with us, specified employees of a specified approved contractor within the approved contractor's group of companies, but who in all circumstances described in (a) – (c) above meet the *Key Staff Criteria*.

'*Key Staff Criteria*' means our key staff criteria as updated from time to time, but which are detailed in the Licence Management Operating Manual.

As stated above in *Key Staff Criteria* (b), in exceptional circumstances we may authorise the business to allow individuals that do not meet key staff criteria to operate as key staff providing that all other key staff criteria are met.

Exceptional circumstances might include temporary or short term contingency arrangements to manage significant changes to workload or organisational changes.

2. Charge a fee

Condition 7.1.2

[The approved contractor shall] not: charge any individual an administration fee for submitting your application on their behalf using the Licence Management service, unless agreed otherwise with us by way of an exceptional circumstances request.

3. Applications for non-employees

Condition 4.1

The approved contractor shall follow all processes as specified in the Licence Management Operating Manual:

The approved contractor will be allowed to submit applications on behalf of your **employees only**.

This means that the approved contractor cannot submit applications for other individuals that provide licensable activities on your behalf.

However, in exceptional circumstances we may authorise your business to submit applications for non-employees, providing that all other Licence Management criteria and conditions are met.

Exceptional circumstances might include group structures where different subsidiaries within a group structure have separate but linked or complementary functions. For instance one is as a delivery organisation, and another provides the human resources (screening and vetting and /or licensing) functions.

The policy

Exceptional circumstances criteria

We recognise that exceptional circumstances may arise. If such circumstances are notified to us in advance and if we agree that there are exceptional circumstances then authorisation may be given on a temporary basis, usually a specified period.

Criteria that must be met are:

1. Applications for authorisation must be made in advance.
2. A plan must be submitted setting out why the approved contractor believes the circumstances are exceptional, including:
 - the date when the contractor wishes to start operating under this policy and
 - the date it expects that it will no longer require this authorisation
 - the additional control measures it plans to introduce to mitigate the risk or potential risk when operating outside of Licence Management service criteria.

Each application for exceptional circumstances will be assessed on a case-by-case basis, having regard to the applicant's particular circumstances. By their very nature, exceptional circumstances will be unpredictable.

The issues which we will take into account in determining whether exceptional circumstances apply are:

- The conduct of the approved contractor must demonstrate a pattern of responsible behaviour with regard to meeting the terms of the Licence Management Partnership Agreement.
- The approved contractor is expected to have taken all reasonable action to provide your services in line with the terms of the Licence Management Partnership Agreement.
- The exceptional circumstances must not call into question or be at odds with the integrity of Licence Management services, the ACS or our wider aims and objectives – for example if the exceptional circumstances may lead to an overall reduction of standards or to increased risks to public safety.
- The exceptional circumstance(s) should be deemed to be unavoidable – for example if the situation could have been avoided by earlier action. Steps taken by the applicant to address, avoid, remedy and/or improve the situation will be taken into account. If it is deemed the applicant has significantly contributed to the position or there is evidence of planning to act in breach of the Licence Management Partnership Agreement, in advance of the exceptional circumstance(s) arising, this will also be taken into account.
- The approved contractor should be able to show that it has used its best endeavours to ensure that the need to act in breach of the terms of the Licence Management Partnership Agreement is minimised. (The business, must specify the additional control measures they plan to introduce to mitigate the risk or potential risk when operating outside of process).

- We will not usually accept as exceptional any circumstance(s) caused by business decisions or changes subject to normal commercial risks or which could have been avoided or foreseen. In assessing whether this may apply, we will consider the intention behind the business decision or change. Further, although many applicants' circumstances may cause some degree of difficulty or hardship, such cases are unlikely to be able to fulfil the 'exceptional' criteria based on this factor alone.

Making a Decision

We will normally respond to requests for exceptional circumstances within five working days. We may seek further information from the approved contractor to support the application for exceptional circumstances.

If we agree to the request, the approved contractor will be notified in writing of the authorisation and any conditions attached to it. The authorisation will also specify an expiry date. This authorisation may be used in the event of an independent assessment to support conformance with Licence Management and ACS requirements.

Where we decide to refuse a request in accordance with this policy, it will provide the reasons for doing so in writing.

Review and appeal

The exceptional circumstances criteria will be subject to review to ensure they continue to meet the objectives. If an approved contractor is not satisfied with a decision under this policy they are able to seek an independent review of the decision by writing to the us.

Licence Management Exceptional Circumstances request form

Licence Management Exceptional Circumstances Form v1.2 19.6.18			
Approved contractor			
ACS Reference:		Key Contact Name:	
Email:		Tel:	
Dates requiring authorisation:	From:	To:	
ACS Privileges: (delete as applicable)	Approved for Licence Management	Applied for Licence Management	
<p>Reason circumstances are exceptional (tick all that apply):</p> <p>Please select the circumstances that apply having regard to the requirements of the SIA policy</p> <p><input type="checkbox"/> 1. Key Staff Criteria</p> <p><input type="checkbox"/> 2. Applications for non-employees:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Individuals employed by an approved contractor within the same group as our business <input type="checkbox"/> Individuals employed by a non-ACS business within same group as our business <input type="checkbox"/> Individuals supplied by others to undertake licensable activity on behalf of our business (self-employed, agency staff, labour providers, intermediaries, other businesses) <input type="checkbox"/> Specific individuals employed by our clients (e.g. site manager that supervises our licensable individuals) <p><input type="checkbox"/> 4. charge any individual an administration fee for submitting their application using the Licence Management service</p> <p><input type="checkbox"/> 3. Other (please specify) _____</p>			
<p>Supporting case</p> <p>Please provide as much information as possible, including why the circumstances are exceptional and how the criteria in the SIA exceptional circumstances policy are met; the additional control measures it plans to introduce to mitigate the risk or potential risk when operating outside of Licence Management criteria. Please attach additional pages if more space is needed.</p> <p>For 2, please provide details of the business providing the individuals.</p>			
Signature:		Date:	
Official Use Only			
Date request received:		Date decision made:	
EC applies:	Y / N	Expiry:	