

Volume 2 The Specification

Employee Screening Services

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0. CUSTOMER ORGANISATIONS OVERVIEWS

0.1 Transport for London (TfL)

TfL was created in 2000 as the integrated body responsible for London's transport system. TfL is a functional body of the Greater London Authority. Its primary role is to implement the Mayor of London's Transport Strategy and manage transport services to, from and within London.

TfL manages London's buses, the Tube network, Docklands Light Railway, Overground and Trams. TfL also runs Santander Cycles, London River Services, Victoria Coach Station, the Emirates Air Line and London Transport Museum. As well as controlling a 580km network of main roads and the city's 6,000 traffic lights, TfL also regulates London's taxis and private hire vehicles and the Congestion Charge scheme.

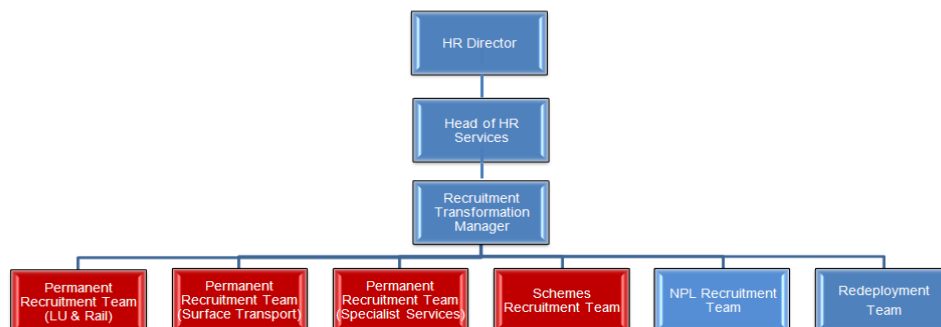
Further background on what TfL does can be found on the TfL website here:

<https://tfl.gov.uk/corporate/about-tfl/what-we-do>

HR Services Recruitment sits within the HR Services function within the HR Directorate and is responsible for recruitment across all levels pan-TfL.

The Recruitment teams (highlighted in red in the structure below) will require the Service Provider to supply pre-employment screening services.

Transport for London High Level Recruitment Team Structure - November 2013



0.2 London Fire Brigade (LFB)

The LFB is the statutory fire and rescue service for London. It was formed by the Metropolitan Fire Brigade Act of 1865.

The LFB is the busiest of all the fire services in the United Kingdom. It is the second largest in size, after the national Scottish Fire and Rescue Service, and has the largest number of whole-time firefighters. It has 5,992 staff,

including 5,096 operational firefighters and officers based at 102 fire stations (plus one river station).

The LFB is led by the Commissioner for Fire and Emergency Planning. The brigade and Commissioner are overseen by the Greater London Authority (GLA), which in April 2018 took over these responsibilities from the London Fire and Emergency Planning Authority.

Further background on what the LFB does can be found on the LFB website here:

<https://www.london-fire.gov.uk/about-us/>

0.3 The Greater London Authority (GLA)

The Greater London Authority (GLA) was established by the GLA Act 1999. Its staff are appointed by the Head of Paid Service, the GLA's most senior official, and serve both the Mayor and the London Assembly. The corporate roles undertaken by GLA staff include:

- [Spending money wisely](#) – the GLA's budget and business planning documents clearly set out how Londoners' money is being spent
- [Maintaining high standards](#) – the GLA upholds the highest standards of conduct and maintains registers of [gifts and hospitality](#) and of interests for its Members and senior staff
- [Governing the organisation](#) – the GLA has developed a transparent and comprehensive approach to corporate governance which is overseen by its Corporate Management Team
- [Electing the Mayor and Assembly](#) – the GLA's Greater London Returning Officer (GLRO) oversees the administration of GLA elections which are held every four years

Further background on what the GLA does can be found on the GLA website here:

<https://www.london.gov.uk/>

0.4 The Customer

Each of the participating bodies described above (TfL, the LFB and the GLA) will be collectively known as the "Customer".

The Customer operates in the most diverse city in the world, and is committed to creating a workforce that truly reflects the communities it serves. The Customer has adopted the Mayor of London's 'Equal Life Chances for All'

framework, which looks at the implementation of policies and actions that will benefit all London's communities. For the Customer the key Mayoral employment-related objective is:

“to achieve a workforce across the GLA Group which reflects London's diversity”

1. INTRODUCTION

1.1 Background

- 1.1.1. The Customer has a requirement for companies with proven success in delivering employee screening services both prior to and during employment.
- 1.1.2. Employee screening is defined as the process of collating and verifying information about an employee, potential employee, or temporary worker to assess or confirm their suitability for a role or promotion within the organisation. This may include: employment history verification, financial probity checks, criminal record disclosure etc.(media check, cv discrepancy check, international criminal check, directorship check-these checks have been mentioned in this specification under additional checks).
- 1.1.3. Employee screening may encompass pre-employment screening for new employees or a change of role and employment screening for ongoing checks of staff already in post.
- 1.1.4. The Service Provider will normally be required to provide employee screening services for the Authority's Human Resources (HR) department, or any other relevant stakeholder department that requires such services.
- 1.1.5. Transport for London (TfL) outsources all of its Pre-Employment Screening (PES) activities for employment verification, reference checking, criminality checks and other checks as required. These are undertaken for all permanent and fixed term contract employee hires and must be satisfactorily completed before new employees can commence work at TfL (including graduate and apprentice appointees). PES is also carried out for existing employees who transfer or are promoted to a new role that requires additional screening, this includes roles that require a basic or enhanced criminality disclosure check. In addition to PES, there is also a requirement to undertake ongoing employee screening beyond the recruitment remit for certain roles including enhanced DBS checks and basic disclosures at defined periods.
- 1.1.6. The LFB and the GLA are also exploring the possibility of outsourcing all of its PES requirements.
- 1.1.7. PES checks occur after the provisional employment offer and before commencement of employment. The timely completion of screening activities is essential to ensure that new starters to TfL commence work as scheduled. The Service Provider will be responsible for all PES for

external candidates and where required, for internal candidates who transfer or are promoted into a new role.

1.1.8. TfL's Employment Screening Guidelines state that all potential employees should be fully referenced and verified before starting employment with TfL. PES applies to all employees over the previous 3 years for staff employed at Bands 1-2 or equivalent and over the previous 5 years for staff employed at Bands 3 and above, with gaps of no more than 3 months permitted without validation. TfL's PES standards are detailed at Appendix 1 and referenced with TfL's Pre-employment Screening Matrix in Appendix 2.

1.2 Objectives

- To contract with a Service Provider for the provision of employee screening services, as detailed in this Specification.
- In the event of large scale, high volume, campaign recruitment, the Service Provider will be required to work with a Recruitment Process Outsource provider (RPO).
- The Service Provider shall be responsible for maintaining a direct relationship with managers from any area of the business requiring non-recruitment related screening and for providing invoicing and detailed management information as requested by the business area.

2. SCOPE

2.1 General Requirements

- 2.1.1 The Service Provider is required to work closely with the Customer in delivering the services and establish and operate effective working relationships with key service or account managers within the HR departments or relevant stakeholder team.
- 2.1.2 The Service Provide will also be required to work collaboratively with the RPO, if such action is commissioned by the Customer.
- 2.1.3 The Service Provider shall provide the following services:
- a) The ability to conduct the following screening checks as outlined in Appendix A, including the following additional checks:
 - Counter Terrorist Check (CTC)
 - Media Checks
 - CV Checks
 - International Criminal Checks
 - Security Vetting
 - b) A system to manage and securely store candidate information and special requirements. This system will be hosted by the Service Provider and accessible by the Customer or other party granted express permission by the Authority.
 - c) An online portal by which candidates can access, complete, and submit mandatory and supplementary information electronically using a secure login including username and password. This interface is to be available twenty four (24) hours a day, seven (7) days a week (24/7).
 - d) A dashboard or equivalent feature, within the online portal, for the Customer's staff to monitor progress of screening activity. This feature should be customisable to the screening needs of each Customer organisation and modifiable throughout the life of the contract as agreed between parties, at no additional cost to the Customer.
 - e) The capability for integration with HR systems such as Taleo or other equivalent applicant tracking system (ATS). This is for the Customer's staff to monitor progress from within these systems. This may not be required for the entire contract, or it may be required after a transition period; this will be determined between the Service Provider and the Customer from contract commencement.

- f) Customer service features that provide the candidate with guidance information for gathering and submitting screening information. This should include, but is not limited to:
- Telephone helpline – with minimum availability being between the hours of 09:00 and 17:00 Monday to Friday, fifty-two (52) weeks of the year excluding back holidays and public holidays in England as published by HM Government.
 - A user friendly contact form, or dedicated customer service email for candidates, accessible 24/7, hosted on the online portal.
 - Clear guidance notes, made available online to candidates, detailing how to complete an online submission with the necessary documentation and evidence and how to use the service.
 - User friendly training guidance for Customer or RPO staff in the use of the Service Provider’s online portal. This should be in the form of, but not limited to:
 - Online step-by-step guide
 - Telephone helpline with dedicated account team
 - Site visit to Customer’s premises to deliver in-person training
- g) Urgently highlight and report any adverse findings, or queries, to the relevant Customer organisation via a secure online system.
- h) Formally notifying the relevant Customer organisation or RPO of all candidates successfully passing employment screening via a secure online system, in a timely manner so that the tracker is kept as up to date with real-time as possible.
- i) Alternative accessibility for employee screening if a candidate does not have access to the internet and a comprehensive process for ensuring quality control and suitable guidance is provided to candidates using this offline process.
- j) Alternative accessibility for employee screening for candidates that have a disability that may impair their ability to complete an online application, as well as suitable guidance material for disabled candidates.
- k) Extra guidance and follow-up support to be provided to candidates with limited experience/knowledge of providing documentation e.g. an Apprentice or a Graduate.

- l) Provision of international screening checks, if required.
- m) The look and feel of the portal should be customisable to allow a 'look and feel' of the relevant Customer organisation. The Customer will have final say on how the portal should look, and the Service Provider will alter the portal to meet the Customer's needs. This will include, but is not limited to:
 - Display of the relevant Customer organisation's logo and branding
 - Font type, font size, and language as used by the relevant Customer organisation

2.2 Key Deliverables

2.2.1 The key deliverables of the service are as follows:

- a) The supply of a 'fit for purpose' thorough and accurate employee screening service to the Customer for external candidates and internal employees who are transferred or promoted.
- b) The provision of a high quality, cost effective and timely service to satisfy the Customer's requirements for pre-employment screening.
- c) Legal compliance.
- d) The provision of a service that delivers good Customer and candidate experience at all times as measured by the Candidate Satisfaction Survey (The Customer Satisfaction Survey is managed and conducted by the Authority).
- e) An employee screening service that demonstrates cost-effectiveness and continual service improvement throughout the life of the contract.
- f) Successful integration and communication between the Service Provider and the RPO.
- g) The efficient and timely delivery of completed pre-employment references, verification and other checks to the Authority's RPO, as detailed in the Pre-employment Screening Standard (see Appendix 1).
- h) Delivery of a service that meets the Customer's diversity and inclusion policy.
- i) A service to areas of the Customer organisations that require ongoing non-recruitment checks for employees, including but not limited to enhanced DBS checks, checks against barring lists, list 99 checks, basic disclosures, financial probity, credit checks and fraud list checks.

2.3 Volumes

2.3.1 Pre-Employment Screening

2.3.1.1 Volumes are given as a guide only and figures are based on historical data.

2.3.1.2 It is anticipated that the number of pre – employment screens required on an annual basis, will be in the region of 2,151 per annum including all schemes, campaign and high volume broken down as follows:

Area	Volumes for 2019
TfL's Permanent Recruitment	1,588
TfL's Schemes (Graduates and Apprentices) recruitment	146
GLA's recruitment	417
TOTAL	2,151

2.3.1.3 As with any large organisation the Customer goes through periods of organisational change and have a number of key projects to deliver at any one time as the Customer responds to the needs of the Mayor's strategies.

2.3.2 Ongoing Employment Screening

2.3.2.1 It is anticipated that the number of ongoing employment screens required on an annual basis, will be in the region of 507 per annum.

2.4 Employee Screening Levels & Frequency

1.1.9. The Employee Screening levels and frequencies required are set out the Employee Screening Standard in Appendix 1 and the Employee Screening Matrix for Customer employees in Appendix 2.

2.5 Data Protection

- 2.5.1 The Service Provider shall comply with Data Protection Legislation (General Data Protection Regulation (GDPR), the Data Protection Act 2018 and any other legislation in force from time to time in the United Kingdom relating to privacy and/or the processing of personal data.) and therefore must adhere to the principles laid out in the regulation. This includes guidance from the Information Commissioner's Office and the Authority's policies.
- 2.5.2 The Service Provider ensure Authority's personal data is processed securely and prevent unauthorised access and disclosure when delivering the service (this includes risks associated with IT systems as well as the physical environment) and human intervention.
- 2.5.3 The Service Provider shall proactively identify privacy and data protection risks/issues and demonstrate a privacy by design and by default methodology in delivering the services covered by this contract, and implement systems and processes to identify, report, monitor and resolve security incidents involving the Authority's personal data.
- 2.5.4 The Service Provider ensure that all employees, i) are subject to appropriate pre-employment checks, ii) receive appropriate privacy and data protection training and iii) are hired on employment contracts with appropriate clauses requiring compliance with privacy and confidentiality obligations.
- 2.5.5 The Service Provider shall response to the Authority's Subject Access Requests (SARs) for personal data made under relevant privacy and data protection legislation.
- 2.5.6 The Service Provider shall implement audit/assurance arrangements to monitor compliance with relevant legal obligations (whether statutory or contractual) covering the processing of the Authority's personal data.

2.6 Disaster Recovery and Data Retention

- 2.6.1 The Service Provider shall have such systems in place to ensure that all portals and interface arrangements have backup facilities and disaster recovery facilities in place to enable full recovery of data within two (2) working days.
- 2.6.2 The Authority's data shall not be held outside the European Economic Area (EEA) without written permission from the Authority. All data shall be held in accordance with statutory data protection legislation, including the General Data Protection Regulations (GDPR)

2.6.3 The Service Provider shall ensure their secure system, portal, and interface handling data is certified to ISO27001:2013 and shall ensure certification for subsequent legislation introduction against ISO27001 is obtained within 3 years of its release.

2.6.4 The Service Provider shall not procure the disclosure of a person’s personal data to a third party or sell a person’s personal data.

2.7 Integration with the Customer’s e-recruitment Applicant Tracking System (ATS)

2.7.1 The Service Provider is required to have the capability to integrate their online portal with the relevant Customer organisation’s e-recruitment system, if required by the Customer.

2.7.2 In addition to system integration, the Service Provider may also be required to provide consultancy and support, working closely with the Customer’s named Contract Manager or designated project manager.

2.7.3 The aim of integration is to enable candidates to complete their entire application in one portal and receive the relevant Customer organisation’s branded communications.

2.8 Cyber Security

2.8.1 The Authority’s Cyber Security requirements are documented within the “TfL Cyber Security Standards and Policies” as per the “TfL Cyber Security Framework”. These Cyber Security requirements form our minimum security baseline and must be implemented where applicable. Furthermore, third parties are required to agree to the “TfL Cyber Security Management Schedule”, included within Schedule 10 of Volume 5 (The Draft Framework Agreement).

2.8.2 The “TfL Cyber Security Policies and Standards” to be implemented where applicable are:

Policy	P 123	Cyber Security Risk Management
Policy	P 124	Secure Builds and Configurations
Policy	P 125	Network Cyber Security
Policy	P 126	System Access Control
Policy	P 127	Cyber Security Incident Management
Policy	P 128	Malware Prevention
Policy	P 129	Security Logging, Monitoring and Audit
Policy	P 130	Removable Media Controls
Policy	P 131	Home and Mobile Working
Policy	P 132	Third Party Cyber Security
Standard	S 1735	System Access Control
Standard	S 1736	Network Cyber Security
Standard	S 1737	Secure Builds and Configurations

Standard	S 1738	Security Logging, Monitoring and Audit
Standard	S 1739	Security Patching
Standard	S 1740	Cryptography
Standard	S 1741	Cloud Cyber Security
Standard	S 1745	Cyber Security Vulnerability Management
Standard	S 1746	Cyber Security Testing
Standard	S 1747	Physical Security of IT Equipment
Standard	S 1748	Wireless Networks and Communications
Standard	S 1749	Secure Software, Application and Web Development

2.8.3 See Appendix 3 of this Volume 2 (TfL Cyber Security Policies and Standards) for detail on each of the policies/standards listed in the table above.

2.9 Implementation

2.9.1 The Service Provider shall work in close collaboration with the Customer during implementation of the employee screening service. This level of collaboration will be maintained throughout the life of the contract and during any future termination or handover event.

2.9.2 The Service Provider will constantly look for opportunities and improved efficiencies within the implementation and duration of the employee screening service and offer these suggestions to the Customer. The Customer will have decision on adopting any proposed changes by the Service Provider and will agree only in writing.

2.9.3 The Service Provider will, during the life of the contract, make any recommendations on how to maximise the data capture and minimise any omissions or confusion in respect to candidate information of gaps in employment, relevant qualifications, and obtaining consent for employment screening to commence.

2.10 Management Information (MI) and Reporting

2.10.1 Management information shall be provided monthly, to each relevant Customer organisation, on the 1st day of each month, a month in arrears and will include the following for employee screening:

- a) Number of candidates screened (as a total sum or in any way instructed by the Customer)
- b) Performance against the SLAs set in Section 3 of this Specification
- c) A list of candidates where alerts have been issued to the Customer
- d) 'Up time' for the candidate/recruiter online portals. This includes all incidences where the portal was 'offline', the circumstances around

each individual incident, and corrective and preventative actions taken

- e) Any other metrics or information as previously instructed to be included in the monthly report by the Customer

2.10.2 The Service Provider shall provide a summary of activity of the employee screening services to the Contract Manager for special requirements screening, including:

- f) Number of candidates screened and type of screen
- g) Business contact engaging in the employee screening service

3. SERVICE LEVEL AGREEMENTS (SLAs)

3.1 Expectations

3.1.1 The Customer expects good performance on all contracts. When poor performance is identified a process for mitigation will be implemented. If good performance is demonstrated, the Service Provider's work will be promoted across the Customer's organisations and help form a strong positive business relationship between the parties.

3.2 SLAs

3.2.1 The Service Provider will ensure the following minimum service levels are met:

	Service Description	Service Level	Fail – Red	Warning – Amber	Pass – Green
1	Query Acknowledgement	The acknowledgement of all queries, email or otherwise, with 48 hours of receipt.	Less than 80%	80%-89%	90% or more
2	Query Resolution	The resolution of all queries within 5 working days of acknowledgement.	Less than 80%	80%-89%	90% or more
3	Delivery of Screening Requirements	Completion of requested employee screening requirements in line with the "Delivery Time" detailed in Appendix 1.	Less than 85%	85%-94%	95% or more

3.3 Monitoring Performance

3.3.1 The Service Provider's performance will be monitored on an ongoing basis via management of the SLAs listed in section 3.2.

3.3.2 Contract performance reviews will be held quarterly between representatives of the Customer and the Service Provider. The agenda of this meeting will be to discuss the general performance of the contract and will include, but not be limited to, specific areas such as:

- Number of tests carried out, of each type, since the previous review
- Review of the Service Provider adhering to the minimum service levels
- Any escalation route measures taken
- Any other issues/business

3.4 **Escalation route for poor performance**

3.4.1 If the Service Provider does not meet the minimum service levels required for employee screening services, it is important that a prompt resolution is in place to remedy and address the poor performance.

3.4.2 The escalation route in the event of poor performance is outlined in Figure 1 below. This is detailed in the following steps:

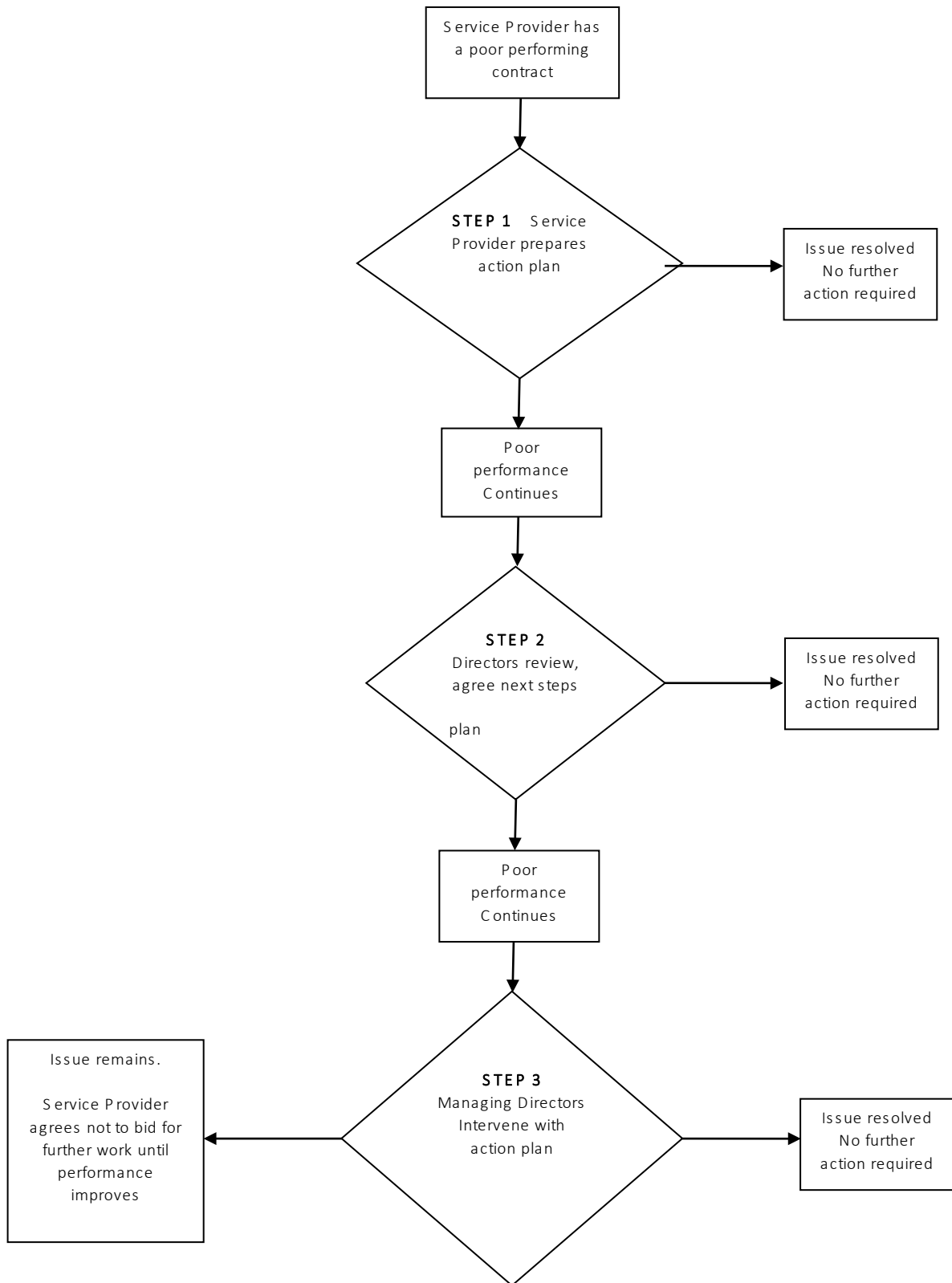
STEP 1 – The Service Provider will commit to resolving poor performance for forming an action plan in collaboration with the Customer to be implemented at an agreed date between parties.

STEP 2 – If, by the next contract and performance review meeting, the Service Provider is still under performing, this will be escalated to the sponsors/directors for the Service Provider's organisation to agree next steps.

STEP 3 – If the mitigation plan is unsuccessful, the Authority's Managing Director and the Service Provider's business owner or most senior management will intervene to meet with the Contract Manager to discuss and agree how to resolve the poor performance.

STEP 4 – If all previous steps have failed, then the Authority will terminate the Contract, in accordance with the Contract Terms and Conditions.

Figure 1: Escalation Route for Poor Performance Flow Chart



4. APPENDICES

Appendix 1. Employment Screening Standard

Appendix 2. Employee Screening Matrix

Appendix 3. TfL Cyber Security Policies and Standards