

United Kingdom Pre-Assignment Requirements

Pre - Assignment Requirements	Description of Requirement	Requirement Execution (Process)	Reference Material	Document	Applies To	Required check for existing assignments Yes/No	On-Going Requirement (Re-check after a continuous 12 month assignment)	Immediate Termination of Assignment if information found missing after the completion of the Audit	Process Step	Who Retains Document	Checklist Question in the VMS tool
Verifying Identity	Verifying name of worker	Supplier must verify the name of the worker through identity checks i.e. passport (NB supplier must see original document)	Candidate proof of name i.e. copy of passport	No	All Workers	Yes	No	YES	Candidate Submittal	Supplier	Have you verified the identity of the individual by sight of an original passport or an official EU National Identity Card?
Right to Work	Verifying eligibility to work in the UK	Supplier must verify the right to work in the UK through appropriate ID checks (NB supplier must see original document)	Candidate proof of right to work i.e. copy of passport or visa	No	All Workers	Yes	Only if they have a restricted work permit	YES	Candidate Submittal	Supplier	Have you verified the individual's Right to Work as stipulated by the UK Border Agency?
Verifying Residency	Verifying address of worker	Supplier must verify the address of the worker through appropriate ID checks	Candidate proof of address i.e. utility bill (not mobile phone bill)	No	All Workers	No	No	YES	Candidate Submittal	Supplier	Have you verified the residency of the individual by sight of an original utility bill or bank statement?
Unspent Criminal Records	Refers to a worker's criminal record that has not yet expired; may still offer the position to the worker, unless their unspent criminal record has a specific impact on the position they are applying for.	Supplier must ask the worker "Do you have any unspent criminal records?" Self declaration - document the supplier keeps (question is part of suppliers registration pack)	Supplier registration process captures the question - self declaration in which the individual signs as part of registration	No	All Workers	Yes	No	No not an immediate termination but will need review if after answering the Contingent worker has responded with yes to this question	Candidate Submittal	Supplier	Have you asked the individual in writing if they have an unspent criminal record?
Verification of Driver's Licence	Subject only to positions that require a valid driver's licence where the successful individual will be required to provide evidence of driving licence	Supplier ensures worker has valid drivers licence if position requires (NB supplier must see original document)	Supplier retains copy of drivers licence both card and paper version and also worker provides actual hard copy to 3M Supervisor on first day of work for insurance and validation purposes.	No	RM work with hiring manager during requisition qualification to determine if this is needed - Contingent workers	Yes - only if role dictates	Yes	SUSPENSION	Candidate Submittal	Supplier	Have you had sight of the individual's original driver's licence and is it valid for use in the UK?
Data Privacy Notice and Consent Form	Document for all submitted candidates to sign and attached as part of candidate submittal process	Supplier ensures candidates signed copy is attached to candidate submittal. CWS RM team validate form has been signed	Data Privacy Notice & Consent Form	Yes	All Workers	Yes	No	SUSPENSION	Candidate Submittal	3M	Has the individual's signed and dated Data Privacy Notice and Consent been uploaded onto the system?
Global Seller Personnel Agreement	Document for all offered candidates to sign as part of final on boarding process	Supplier has worker sign before beginning 3M assignment and retains copy for future audits	Please see document in the 3M UK CWS Portal	Yes	All Workers	Yes	No	SUSPENSION	Offer Acceptance	Supplier	Do you hold the individual's original signed and dated Seller Personnel Agreement?
Business Conduct at 3M Policy	Document for all offered candidates to sign as part of final on boarding process	Supplier has worker sign before beginning 3M assignment and retains copy for future audits	Please see document in the 3M UK CWS Portal	Yes	All Workers	Yes	No	SUSPENSION	Offer Acceptance	Supplier	Do you hold the individual's original signed and dated Business Conduct at 3M Policy?
3M Policies on Computer Usage and Passwords	Document for all offered candidates to sign as part of final on boarding process	Supplier has worker sign before beginning 3M assignment and retains copy for future audits	Please see document in the 3M UK CWS Portal	Yes	All Workers with Systems Access	Yes	No	SUSPENSION	Offer Acceptance	Supplier	Do you hold the individual's original signed and dated 3M Policies on Computer Usage and Passwords?
3M in the United Kingdom: Anti-Bribery Policy	Document for all offered candidates to sign as part of final on boarding process	Supplier has worker sign before beginning 3M assignment and retains copy for future audits	Please see document in the 3M UK CWS Portal	Yes	All Workers	Yes	No	SUSPENSION	Offer Acceptance	Supplier	Do you hold the individual's original signed and dated 3M in the United Kingdom: Anti-Bribery Policy?
Home Office Checks	Specific requirement for 3M SPS, Chadderton site only - Three levels of clearance: 1."TTC" (Counter Terrorist Clearance) - this is the lower level 2."SC" (Security Check and Clearance) - applicable to all workers on site; 3. "DV" (Developed Vetting - used to be called Positive Vetting) which is for those people who handle really sensitive documents or information	The Baseline Standard Verification Record (BSVR) is completed by the candidate at offer acceptance stage. The BSVR is then checked by a nominated 3M person (Mike Lomas or Janet Booth) together with the relevant identity documents as per the BSVR. No copies of documents are required but a signature from either 3M representative verifying the original documents have been provided is required. The validation process is managed electronically and in the majority of cases the individual cannot start until the check has been completed. If the job is working on non sensitive data then an exception can be granted until the clearance comes through, this is managed at a local level. If clearance is not granted then the assignment must be terminated with immediate effect. A letter is received electronically to 3M confirming the status of the clearance and a copy is forwarded to the worker. NB the process for notifying the agency of the clearance is currently managed on a manual basis verbally through the Kelly Services representative based on site.	BSVR and database of clearance status for all workers	Yes - BSVR (other than that no documents are retained by 3M)	Workers assigned to Chadderton location	Yes	Every seven years unless the individual has a significant change in circumstances, e.g. criminal conviction, severe financial difficulties (or indeed anything that may impact on their integrity and honesty) then the Home Office Departmental Security Unit is contacted and further checks are made into their background. If the individual is still on assignment after 7 years then the process starts from scratch again.	YES	Offer Acceptance	BSVR - 3M Chadderton, Home Office retains any copies of ID and 3M Chadderton, agency and worker retains copy of clearance letter.	Has the individual completed the Baseline Standard Verification Record (BSVR) and have the original supporting documents been collated and submitted back to 3M?
Integrity Assessments	Initial integrity assessment screening form for 3rd party relationships. The questionnaire will be the first step to determine what level of integrity assessment will be required in order to engage a third party to work with 3M in any commercial capacity.	Part of anti-bribery compliance UK has decided that 3M will check all suppliers and contingent workers, background check and due diligence provider who will then run more in depth level (ie. Checking prohibited parties lists)	http://share.loc.mmm.com/Europe/UK_Island/UKSourcing/News%20Supplier%20process/News%20Supplier%20process.aspx	Yes - Integrity Assessment Questionnaire	Workers in positions equivalent to job grade 13+ (refer to comparator job grade)	No	No	SUSPENSION	Offer Acceptance	3M	Requirement of the hiring manager - therefore no checklist question required.
AWR Contingent Worker Type	Swedish Derogation, Agency worker, Limited Company, Individual Contractor, Umbrella Company - need to have perm pay rates to ensure at right level. Supplier responsible for identifying if agency worker. If yes then individual entitled to AWR party after qualifying period.	Supplier will verify whether or not the individual is an agency employee through yes/no question on submittal page.	Supplier to verify on Beeline	No	All Contingent Workers	Yes	No	SUSPENSION	Candidate Submittal	Supplier	A dropdown box would be preferred to capture this data point. If not the question should read: Have you notified 3M of the individual's Worker Type (ie Swedish)
Authorized Economic Operator (AEO): Basic	-Verify Identity (Passport) -Verify Residency (Utility bill) -Confirm Right to Work in the UK (passport / Residence permit / Work permit) -Self declaration of unspent criminal record (Application Form with original signature) -Previous employment history (Application Form with original signature) Defined as ensuring the agency has a written employment record for the required period detailing where and when the person was employed - minimum 3 years for AEO and minimum 5 years for Known Consignor (Aycliffe, Clitheroe, Northallerton and Atherstone) - 4 week gap allowance (if 4wks + then the individual must provide a signed and dated self declaration of their activities with applicable time period). -One satisfactory previous employment reference from the last 3 years Defined as ensuring the agency has a verbal or written reference on file from one previous employer from the required period detailing employment dates, position held and reasons for leaving as a minimum	3M expects supplier to complete all BASIC CHECKS as part of the conduct regulations standard practice and required for all contingent workers.	AEO ppt - to be shared with suppliers during supplier submit and uploaded onto supplier portal.	Yes - reference either written or signed verbal	Contingent Workers in a Production, Manufacturing, Warehousing, Administration positions and all Service only workers.	Yes	No	YES	Offer Acceptance	Supplier	Have you performed all the AEO: Basic Pre-Assignment Requirements as stipulated in the 3M Supplier Portal?
Authorized Economic Operator (AEO): Medium	-All the Basic checks + employment references for 3 years for AEO and 5 years for Known Consignor (Aycliffe, Clitheroe, Northallerton and Atherstone) Defined as ensuring the agency has verbal or written references on file from all previous employer for the required period detailing employment dates, position held and reasons for leaving as a minimum - 4 week gap allowance (if 4wks + then the individual must provide a signed and dated self declaration of their activities with applicable time period).	3M expects supplier to complete all BASIC CHECKS as part of the conduct regulations standard practice and required for all contingent workers. 3M are in the process of sourcing a 3rd party organisation where any requirements above the basic check will be performed.	AEO ppt - to be shared with suppliers during supplier submit and uploaded onto supplier portal.	Yes - reference either written or signed verbal	Contingent Workers in a Sales, Marketing, HR, Scientific, R&D position	No	No	SUSPENSION	Offer Acceptance	Supplier	Have you performed all the AEO: Medium Pre-Assignment Requirements as stipulated in the 3M Supplier Portal?
Authorized Economic Operator (AEO): Medium Plus	-All the Basic and Medium checks + academic and professional qualifications checks only if applicable to the role	3M expects supplier to complete all BASIC CHECKS as part of the conduct regulations standard practice and required for all contingent workers.	AEO ppt - to be shared with suppliers during supplier submit and uploaded onto supplier portal.	Yes - reference either written or signed verbal and original academic & professional qualification certificates	Contingent Workers in a Sourcing, Legal, IT position	No	Only the professional license to perform in the role to which they are assigned	SUSPENSION	Offer Acceptance	Supplier	Have you performed all the AEO: Medium Plus Pre-Assignment Requirements as stipulated in the 3M Supplier Portal?
Authorized Economic Operator (AEO): High	-All basic, medium and medium plus + financial checks to include county court judgements, individual voluntary arrangements, and bankruptcy	3M expects supplier to complete all BASIC CHECKS as part of the conduct regulations standard practice and required for all contingent workers.	AEO ppt - to be shared with suppliers during supplier submit and uploaded onto supplier portal.	Yes - reference either written or signed verbal, original academic & professional qualification certificates and	Contingent Workers in a Finance position	No	Every three years only	SUSPENSION	Offer Acceptance	Supplier	Have you performed all the AEO: High Level Pre-Assignment Requirements as stipulated in the 3M Supplier Portal?
Medical Reference	Ensures worker has nothing which prevents them from performing a position due to medical conditions, or identifies what adjustments need to be made to accommodate (worker self declares)	Supplier reviews position requirements with worker and verifies. Supplier could ask a question within the application form "in relation to disability or ill health, are there any reasonable adjustments you would like us to consider regarding your assignment at 3M?"	Supplier registration process captures the question - self declaration in which the individual signs as part of registration	No	All Workers	No	No	SUSPENSION	Offer Acceptance	Supplier	Have you asked the individual in writing the following question: "In relation to disability or ill health, are there any reasonable adjustments you would like us to