

Workers and Temporary Workers: guidance for sponsors

Appendix A: supporting documents

Version 04/25

This guidance is for employers and other organisations who wish to apply for a sponsor licence on the Worker or Temporary Worker routes. It tells you the supporting evidence (documents) you must submit with your sponsor licence application.

This version of the guidance is valid from 9 April 2025.

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About this guidance

This guidance is for organisations who wish to apply for a sponsor licence on the Worker or Temporary Worker routes, or add any of those routes to an existing sponsor licence. It tells you the supporting documents and information you must send with your online sponsor licence application.

There is separate guidance for organisations <u>applying for a Student or Child Student</u> <u>licence</u>.

Related guidance

Before you apply for a sponsor licence, you should ensure you understand what sponsor licensing is and whether you are likely to be eligible. We will not refund your application fee if your licence application is refused.

If you are new to sponsor licensing, you may find it helpful to read <u>UK visa</u> <u>sponsorship for employers</u> on GOV.UK for a general overview.

You should also read the following parts of the sponsor policy guidance:

- Part 1: Apply for a licence this contains detailed information on the requirements and how we assess applications
- the relevant guidance for the route, or routes, you wish to be licensed on ('route-specific guides')

We recommend you also read:

- Part 2: Sponsor a worker this contains detailed information on how to sponsor individual workers
- Part 3: Sponsor duties and compliance this tells you about your responsibilities as a licensed sponsor and the action we may take if you fail to meet your sponsor duties
- Appendix D this tells you about your record-keeping duties if you are granted a sponsor licence

All of these documents are available in the collection <u>Workers and Temporary</u> <u>Workers: guidance for sponsors</u>.

Contacts

If you think the guidance has factual errors or broken links, you can email the <u>Business Helpdesk</u>.

If you have read this guidance, and the relevant route-specific guidance, and you still have any queries, you can call us on 0300 123 4699 or email the <u>Business</u> <u>Helpdesk</u>.

Version number and publication

Below is information on when this version of the guidance was published:

- version 04/25
- published on 9 April 2025

You can view previous versions of this guidance on the National Archives website.

Changes to this guidance

This version replaces version 10/23 (published on 9 October 2023). The guidance has been reformatted to improve accessibility and redrafted for clarity. Below is a description of the main differences between the current and previous versions of this guidance:

- section 1.1: contains information previously included in section L7 of Part 1: Apply for a licence
- section 1.2, 1.3, 1.4: contains information previously in the Introduction to Appendix A with minor clarifications
- section 2: contains information previously in Table 2 of Appendix A with a number of clarifications
- section 3: contains information previously in Table 3 of Appendix A with a number of clarifications, in particular in section 3.10 (evidence for UK Expansion Worker); guidance for organisations applying for a Student or Child Student licence is now contained in the Student sponsor guidance
- section 4: contains information previously in Table 4 of Appendix A, with a number of clarifications
- section 5: contains information previously in Table 1 of Appendix A, with some minor policy changes and clarifications (see below)
- section 5.2: the blanket exemption for specified bodies and organisations from sending documents in section 2 (formerly Table 2) has been partially removed – it's possible such organisations may need separate authorisation to act as a charity or carry on regulated or licensed activities, so they will need to provide this evidence, unless they can show they are exempt
- section 5.4: clarification that the requirement for diplomatic missions, consular posts and international organisations to send a supporting letter from the head of mission or organisation, and the exemption from sending documents in section 4 (formerly Table 4), applies regardless of the route the organisation is applying on, and not just to those applying under International Agreement
- section 6: contains information previously in the Introduction to Appendix A and in section L7 of Part 1: Apply for a licence, with some minor clarifications
- section 7: expands on the examples previously in section L7 of Part 1: Apply for a licence

1. Introduction

1.1. Why we ask for supporting documents

When you apply for a sponsor licence, or ask to add routes to an existing licence, you must normally send supporting evidence or information (referred to as 'documents' in this guidance) with your application. We ask for this so we can be satisfied:

- your business or organisation exists and is genuine
- you are legally operating or trading in the UK (or, if you're applying under UK Expansion Worker, have established a 'UK footprint')
- you meet any specific requirements for the route or routes you're applying to be licensed on
- you are able and intend to sponsor workers in genuine roles and comply with your sponsor duties

If you fail to send any documents or information specified as mandatory in this guidance, we will reject your application. If you fail to send other documents or information we require, we will refuse your application.

1.2. How many documents you have to send

Most organisations will need to send a minimum of 4 documents (or 4 combinations of documents) with their application. This includes:

- any documents specified as mandatory for your type of organisation (section 2)
- any documents specified as mandatory for the route, or routes, you're applying to be licensed on (<u>section 3</u>)
- any additional documents if these are needed to reach the minimum number of 4 (section 4)

If you're applying under Skilled Worker or Minister of Religion, you will normally need to send some <u>additional information about your organisation and the jobs you intend</u> to fill. This is in addition to the minimum of 4 documents.

You may need to send more than 4 documents in some cases – for example, if there are more than 4 mandatory documents for your type of organisation and the route (or routes) you're applying on.

You may not need to send as many as 4 documents (and may not need to send any documents at all) if you're <u>an organisation listed in section 5</u> – for example, if you're a government department, public body, or an international organisation.

You will not normally need to send any documents to us by post. In many cases, we can check the relevant information online and this will count as a 'document'. In other cases, you will normally need to send scanned copies or photographs of your supporting documents to us by email. See <u>section 6</u> for further guidance on the requirements your documents must meet and the checks we may make on them.

<u>Section 7</u> contains examples of how to identify the relevant supporting documents.

We reserve the right to ask for additional documents or information (including documents or information not specified in this Appendix) to help decide your application.

Adding routes to an existing licence

If you already have a sponsor licence and are applying to add a route (or routes) to it, you must send any route-specific documents specified in section 3. You will not normally need to send any other documents but we reserve the right to ask for them.

The only exception is if you're licensed on the UK Expansion Worker route and applying to add routes, in which case you must send the minimum number of documents specified for organisations applying for the first time.

1.3. How and when to send your documents

When you have completed your online application, a 'submission sheet' will be automatically generated. This will:

- summarise the documents you must send with your application
- tell you the email address to send your application and supporting documents to
- tell you the format any scanned or photographed documents must be in

Your Authorising Officer must sign and date the declaration on the submission sheet.

You must send all pages of the submission sheet, and your supporting documents and information, to the email address given on the submission sheet.

You must do this no later than 5 working days after the date you submitted your online application.

Do not post any documents to us unless we ask you to. If you are having difficulty sending your documents by email, contact the email address given on the submission sheet for advice.

Make sure your documents meet the requirements in <u>section 6</u> of this guidance.

1.4. If you fail to send the correct documents

Your application will be invalid if any documents or information specified as mandatory in section 2 or 3 of this guidance are either:

- not received within 5 working days of submitting your application
- incomplete or in the incorrect format

We will reject your application without considering it and refund any fee you have paid. If you still wish to apply, you will need to complete the online application form again and pay the application fee.

If any other documents are missing from your application (such as those listed in section 4), or if we need any additional documents or information, we will contact you by email. We will give you 5 working days to send any additional documents or information to us. If you do not send them within this time, we will refuse your application and your fee will not be refunded.

If we refuse your application, you may not be eligible to apply again for at least 6 months. See 'cooling-off period' in section L9 of <u>Part 1: Apply for a licence</u> for further information.

1.5. If we need to contact you

If we need to contact you about your application (for example, to request more documents or information), we will always email the Key Contact named in your online application. We may also contact your Authorising Officer. Make sure they are available while your application is being considered so they can answer any queries we may have or submit any additional documents or information.

We will not contact your legal representative (if you have one) unless you have nominated them as your Key Contact. See section L4 of <u>Part 1: Apply for a licence</u> for guidance on who can be your Key Contact.

2. Mandatory documents for certain organisations

This section applies if you're any of the following:

- a charity
- a franchisee
- have been operating or trading in the UK for less than 18 months (a 'start up')
- a regulated organisation (other than a charity)

Unless stated otherwise below, you must submit the evidence specified in this section relevant to your type of organisation. If you do not, your application will be rejected.

2.1. Charities

If you're a charity, we must see proof of your charitable status. This applies regardless of which routes you're applying under.

Registered charity

If you're a registered charity and are listed on any of the following charity regulators' websites (under the same name in which you're applying for a licence), you do not need to send any documentary evidence of your charitable status – simply tell us in your application form or in a covering email which register you're on (and your registration number) and we'll do an online check:

- <u>Charity Commission for England and Wales</u>
- <u>Scottish Charity Regulator</u>
- <u>Charity Commission for Northern Ireland</u>

If you're registered under a different name to the one you're applying under, you must send us either documentary evidence of your registration or a covering email or letter to tell us what name you're registered under (and your registration number).

Northern Irish charity awaiting registration

If you're a charity based in Northern Ireland but have not yet been <u>invited to apply for</u> <u>registration</u> with the Charity Commission for Northern Ireland, you must send us proof you have been granted charitable tax status by HMRC.

Excepted charity

If you're an excepted charity and your organisation is listed by name in the <u>excepted</u> <u>charities guidance</u> on GOV.UK, tell us this in your application form or in a covering email, and we'll check your status online. You do not need to send any further evidence of your charitable status.

If your organisation is not listed by name in that guidance, you must explain in a covering email or letter how you meet the definition of an excepted charity (for example, if you're a church or faith body linked to any of the organisations in section 5 of that guidance).

Exempt charity

If you're an exempt charity and your organisation is listed by name in the <u>exempt</u> <u>charities guidance</u> on GOV.UK, tell us this in your application form or in a covering email, and we'll check your status online.

You do not need to send any further evidence of your charitable status. However, as an exempt charity you will normally have a 'principal regulator'. You must also give details of your principal regulator under <u>section 2.4 below</u>. This will count as an additional document towards the minimum number you need.

If you're not listed by name in the exempt charities guidance, you must tell us how you meet the definition of an exempt charity and provide relevant supporting evidence, for example:

- a letter from your principal regulator confirming you're a charity
- a document issued by HMRC confirming you're eligible for charity tax relief

You do not need to send any further evidence of your charitable status if you're either:

- a higher education institution listed in Annex B to the Office for Students publication '<u>Regulatory advice 5: exempt charities</u>'
- an academy trust in England listed on the <u>Get Information about Schools</u> (GIAS) database (you should tell us your GIAS reference number)

Otherwise not required to register as a charity

If you're not required to register as a charity (for example, because you're a <u>small</u> <u>unincorporated charity</u>), you should explain this in your application and send any relevant supporting evidence – for example, a document issued by HMRC confirming you're eligible for tax relief or are registered for gift aid.

2.2. Franchisee

If you're a franchisee you must send us the relevant franchise agreement or licence signed by both you (the franchisee) and the franchisor.

2.3. Operating or trading in the UK for less than 18 months ('start up')

If you've been operating or trading in the UK for less than 18 months on the date you make your sponsor licence application (sometimes known as a 'start up'), you must send evidence you have a corporate or business account with a UK bank or building society that meets both of the following requirements:

- is authorised and regulated by the Prudential Regulation Authority; and
- is regulated by the Financial Conduct Authority

You can find lists of eligible banks and building societies on the <u>Prudential</u> <u>Regulation Authority</u> website or by searching the <u>Financial Services Register</u>.

You should send your most recent statement. This must be fully itemised and contain the official logo of the relevant bank or building society.

You do not have to send this evidence if you're either:

- applying under UK Expansion Worker
- an organisation listed in <u>section 5</u>

2.4. Regulated organisations (other than charities)

If you are required to be registered with, or inspected or monitored by, a regulatory body, or licensed by a local authority or other body, to operate lawfully in the UK, we will need to check that you are registered with, or licensed by, the relevant body and may need to see your most recent inspection report.

This section of the guidance only applies if you are required to be registered with a regulatory body or licensing authority which can take action against you for any failings and where, if it removed your registration or licensing, you would no longer be able to lawfully operate some or all of your business. It does not include optional registration with or accreditation by a professional body. However, you can send evidence of non-mandatory registration or accreditation as an additional document under section 4.

How to prove you meet this requirement

When you complete your sponsor licence application form, you must tell us if you need to be registered with or inspected by a regulatory body or licensing authority. If you are, you must tell us:

- the name of your regulator or licensing authority
- your registration number with that regulator or authority, if you have one

We will normally be able to check your registration online, so you will not need to send us documentary evidence. We will also check the registration of any branches you've asked to be included in your licence (where the regulator requires each branch to be separately registered).

If your regulatory body does not maintain an online public register, you must send us documentary evidence of your registration and the registration of any branches or sites you have asked to be included on your licence where appropriate.

If you have applied for your licence under a different name to the one you have given to your regulatory body, you can either send your last inspection report or send us a covering email or letter telling us the name you have given to the regulatory body so we can do an online check. We may need to see additional evidence that you're the same organisation.

If you believe you are exempt from registration with the relevant body, you must explain this in your application and provide any relevant supporting evidence (for example, a letter from the relevant regulator confirming you are exempt and why). If you do not provide an explanation we are likely to reject your application.

If you say you are not required to be registered with or inspected by a regulatory body, and we find you are, we are likely to refuse your sponsor licence application (or revoke your licence if we discover this after your licence has been granted).

Some examples of regulated organisations

The following pages on GOV.UK list various regulators and licensing authorities but they are not definitive. It is your responsibility to check whether your organisation is required to be registered or licensed and to provide accurate information in your sponsor licence application:

- Find a regulatory authority
- <u>Check which professions are regulated in the UK</u>
- <u>UK regulated professions and their regulators</u>
- Find a licence

Below are some common examples of organisations that must normally be registered with or inspected by a regulatory body or licensing authority.

Adult social care provider

If you are undertaking any regulated care activity, you must be registered with the relevant regulator for the country of the UK in which you operate:

- <u>Care Quality Commission (CQC)</u> (England)
- <u>Care Inspectorate</u> (Scotland)
- <u>Arolygiaeth Gofal Cymru</u> / <u>Care Inspectorate Wales</u>
- <u>Regulation and Quality Improvement Authority</u> (Northern Ireland)

If you're applying for a <u>Skilled Worker sponsor licence</u> and you intend to sponsor care workers (occupation code 6135) or senior care workers (occupation code 6136) with a working location in any part of England, you must also include the following information in your application:

- the working location or locations of any workers you intend to sponsor under these occupation codes
- details of which regulated activities you undertake
- your CQC registration number, confirming your registration is 'active'

Alcohol business

If you sell or supply alcohol, you will normally need to be licensed or authorised by the relevant licensing authority (such as your local council). You must send us a copy of the relevant licence (or licences). If your licensing authority publishes this information online, tell us and we'll do an online check. See <u>Alcohol licensing</u> on GOV.UK for more information.

If you are an alcohol wholesaler, you will normally need to be authorised by HMRC under the <u>Alcohol Wholesaler Registration Scheme</u>. You should tell us your Unique Registration Number (URN) so we can check this on HMRC's public database.

Financial services provider

If you are a bank, building society or credit union, you must be both:

- authorised and regulated by the Prudential Regulation Authority (PRA)
- regulated by the Financial Conduct Authority (FCA)

If you're an electronic money institution, you must be regulated by the FCA.

For other financial services (such as insurance), you must be regulated by either the PRA or the FCA (or both), depending on which services you provide.

You should tell us your registration number (or numbers) so we can check the online <u>Financial Services Register</u>.

Food business

If you sell, cook, store, handle, prepare or distribute food, you will normally need to register as a food business with your local authority. You must send proof you have registered. If your food hygiene rating is published on the '<u>Scores on the Doors</u>' website, tell us this in your application and we will do an online check.

School

If you are listed on any of the following websites, tell us your reference number (where applicable) or the name under which you're registered and we'll do an online check:

- Get information about schools (England)
- <u>School contact details</u> (Scotland)
- Independent schools register (Scotland)
- Schools Plus directory (Northern Ireland)
- My Local School (Wales) / Fy Ysgol Leol (Cymru)

You should also send us your latest inspection report if applicable. If the report is available online, tell us this in your application.

3. Mandatory documents for specific routes

This section sets out the mandatory documents you must submit for the route, or routes, you're applying to be licensed on ('route-specific documents').

You must submit these documents in addition to any mandatory documents in section 2 and documents from section 4 (where required). If you do not submit any documents specified as mandatory, we will reject your application.

If a route is not listed in this section it means there are no specific mandatory documents for that route and you must therefore choose all of your documents from section 2 (where relevant) and section 4.

3.1. Government Authorised Exchange (GAE)

To be eligible for the GAE route, the scheme you wish to sponsor workers on must first be endorsed by a UK government department (or one of its executive agencies) and approved by the Home Office. See section GA2 of <u>Sponsor a Government</u> <u>Authorised Exchange worker</u> for further information on the approval process.

The documents you have to send with your application depend on whether you're an 'overarching sponsor' or an 'eligible endorsed sponsor'. See the Glossary in Sponsor a Government Authorised Exchange worker for a definition of these terms.

Overarching sponsors

If you're applying as an overarching sponsor, we will have already confirmed with you that your scheme has been approved before you apply for a licence, and your scheme will have been added to <u>Appendix Government Authorised Exchange</u> <u>schemes</u>. You therefore do not need to send evidence of your scheme approval with your application. You should indicate in your application that your scheme is listed in the Immigration Rules.

This means you will normally only need to send 3 documents with your application (including any mandatory documents from this section and section 2, if relevant). You may not have to send as many (or any) documents if you're an organisation listed in <u>section 5</u>.

Eligible endorsed sponsors

If you're applying as an eligible endorsed sponsor, you must send evidence of your eligibility to access the specific scheme. There are currently 4 GAE schemes which permit eligible endorsed sponsors, as set out below.

Diplomatic Missions Interns Scheme

This scheme is administered by the Foreign, Commonwealth and Development Office (FCDO) and is open only to

- diplomatic missions or consular posts of countries recognised by the UK
- the Delegation of the European Union to the United Kingdom of Great Britain and Northern Ireland

You must send a copy of the signed Memorandum of Understanding between you and FCDO with your application.

UK Research and Innovation schemes

If you're applying under an eligible scheme administered by UK Research and Innovation (UKRI), you must send a copy of the approval letter from UKRI confirming your access to the relevant scheme. Eligible schemes are the:

- Science, Research and Academia Scheme
- Future Technology, Research and Innovation Scheme

Sponsored Researchers Scheme

This scheme is endorsed by the Department for Science, Innovation and Technology (DSIT) and is open only to recognised UK higher education institutions.

You do not need a separate endorsement or approval from DSIT to apply under this scheme but we must be satisfied you are a recognised higher education institution. For example, if you're a higher education provider based in England, you must be registered with the <u>Office for Students</u>. You should confirm who your regulatory or oversight body is, and provide any reference number if relevant, so we can check this online.

3.2. Graduate Trainee (Global Business Mobility)

You must send both of the following:

- information about your graduate training programme for example, a course or programme brochure, evidence of recruitment for the programme, or a link to your company website giving details of the programme
- proof you have a <u>qualifying link to an overseas business</u>

See Example 6 in section 7.

3.3. International Sportsperson

You must send a copy of your sports governing body endorsement, with your unique reference number, as described in section SPT2 of <u>Sponsor an International</u> <u>Sportsperson</u>.

If you do not already have an endorsement, you must obtain one from the relevant body listed in <u>Appendix Sports Governing Bodies</u> before you apply for your licence.

For further information on the role of governing bodies, see the <u>Code of practice for</u> <u>sports governing bodies</u>.

See Example 3 in section 7.

3.4. Minister of Religion or Religious Worker

If you're applying on either (or both) of these routes, you must send:

- proof of your <u>charitable status</u> (as required under section 2.1)
- evidence you're an eligible religious organisation, as set out below

If you're applying under Minister of Religion, you must also send <u>additional</u> <u>information about your organisation and the jobs you intend to fill</u>. This is in addition to the minimum of 4 documents.

Evidence you are an eligible religious organisation

You must provide all of the documents and information below (where they are relevant to your organisation). This can be in a covering email or letter, or evidence as specified below.

All of this information will collectively count as one 'document'. You will still need to send at least 3 other documents from sections 2, 3 and 4 (as applicable).

If the information requested is not relevant to your organisation, you should make this clear in your covering email or letter.

You must tell us:

- what type of religious organisation you are (for example, an ecclesiastical organisation, a missionary organisation, a religious order)
- which faith, religion or belief system you belong to

If you're part of a larger organisation, you must:

- give details of your parent organisation and how you are connected to them
- provide a current hierarchy chart of your organisation that shows where you are in that hierarchy

If there is a set hierarchy within your faith, you must also send us a letter of support from the head of your faith body organisation (or their nominated legal representative) which confirms you are part of that organisation.

If relevant to your organisation, you must tell us:

- the average size of your adult congregation
- the number of clergy you currently employ
- · addresses of your regular meeting places
- your scheduled days and hours of worship

If you are legally required to register your premises for the solemnisation of marriages (certain organisations in England and Wales only), you must either send a copy of your completed Form 78, signed by the General Register Office, or tell us in a covering letter or email that you are included on the list of Places of worship registered for marriage and we will check your entry online.

For more information on who needs to register their premises for this purpose, see <u>How to certify a building for religious worship and register for the solemnisation of</u> <u>marriages (form 78L)</u> on GOV.UK.

If you have registered your premises as a place of religious worship only, you may choose to send a copy of your completed Form 76, signed by the General Register Office.

3.5. Seasonal Worker

Before you can apply for a sponsor licence on the Seasonal Worker route, you must first complete a 'request for information' exercise with the Department for Environment, Food and Rural Affairs (Defra). If you are successful in this exercise, Defra will issue you with an endorsement letter and you will be invited to apply for a sponsor licence.

You must send a copy of your endorsement letter from Defra with your application.

Only overarching bodies (scheme operators) are eligible to be licensed on this route. Scheme operators are not permitted to directly employ the workers they sponsor. You cannot qualify on this route as an individual employer (where you wish to directly employ the workers you sponsor). See sections SE2 and SE3 of <u>Sponsor a</u> <u>Seasonal Worker</u> for further information.

3.6. Secondment Worker (Global Business Mobility)

You must send evidence you have a contract with an overseas business for goods or investment. The contract must meet both of the following requirements:

- be worth at least £10 million for each year of the contract
- be worth at least £50 million in total

3.7. Senior or Specialist Worker (Global Business Mobility)

You must send proof you have a qualifying link to an overseas business.

See Example 6 in section 7.

3.8. Service Supplier (Global Business Mobility)

You must send proof you have a contract with an overseas service provider under an eligible trade agreement, as described in section GBM2 of <u>Sponsor a Global</u> <u>Business Mobility Worker</u>.

3.9. Skilled Worker

There are no route-specific documents for Skilled Worker if you're an <u>organisation</u> <u>listed in section 5</u>.

In all other cases, you must send <u>information about your business or organisation</u> and the jobs you intend to fill. This is in addition to the minimum of 4 documents you must send.

See Examples 4 to 7 in section 7.

3.10. UK Expansion Worker (Global Business Mobility)

You must send evidence under each of the following headings:

- proof of your UK 'footprint'
- evidence you have a qualifying link to an overseas business
- evidence of your overseas trading presence
- evidence of your planned expansion to the UK

If relevant to your type of organisation, you must also submit any documents specified in <u>section 2</u>.

You must ensure any documents not in English or Welsh are accompanied by a <u>certified translation</u>.

See section GBM3 of <u>Sponsor a Global Business Mobility worker</u> for more information on the UK Expansion Worker route.

Proof of your UK footprint

You must submit one of the following:

- if you have registered a UK branch or subsidiary of your overseas company with Companies House, the Companies House reference number of that branch or subsidiary or a copy of your certificate of incorporation
- evidence you have bought or leased business premises or dedicated office space in the UK (such as a lease agreement or proof of purchase) signed by all relevant parties

If your UK business has a website, you should also provide the address of that website.

Evidence you have a qualifying link to an overseas business

You must show the UK business is linked by common ownership or control to the overseas business in one of the ways specified in section GBM3 of <u>Sponsor a Global</u> <u>Business Mobility worker</u>. See <u>qualifying link to an overseas business</u> below for guidance on how to show this.

Evidence of your overseas trading presence

Unless an exception specified below applies, you must send evidence your overseas business has been trading for at least 3 years before the date of your application.

You must submit all of the following:

- corporate or business bank statements covering at least the 12-month period before the date of application – see requirements for bank statements below
- certified business accounts or annual reports covering at least the 3-year period before the date of your application – these must meet the requirements for accounts set out below
- evidence of your business's registration with the relevant authorities in the country of operation if there is no formal registration process in the country of operation, you must explain this in a covering email or letter
- Articles of Association for your overseas business (or equivalent constitutional document under the laws of the country of operation)
- Memorandum of Association for your overseas business (or equivalent constitutional document under the laws of the country of operation)
- either of the following:
 - copies of contracts for goods or services covering at least the 12-month period before the date of application – these must show details of the provider and the recipient of those goods or services
 - evidence of advertising for goods or services provided by your overseas business, including any invoices or contracts with third parties for producing or placing your advertising material
- if your linked overseas business has a website, the website address of that business

Requirements for bank statements

Bank statements must be fully itemised and meet the requirements for accounts specified in the <u>Financial requirement caseworker guidance</u>. The bank must be regulated by the relevant financial regulator in the country of operation. You can find a list of such regulators at <u>Regulatory authorities and supervisory agencies</u>.

If you are sending translations of bank statements, it's not necessary to translate every transaction, but the translation must be sufficient to enable us to assess your financial position and include all transactions relevant to your application (for example, those relating to providing goods or services). We reserve the right to request additional translations to decide your application, or to reject your application if we are unable to make an assessment.

Requirements for accounts

Accounts or annual reports must be audited if required by the relevant laws in the jurisdiction in which your overseas business is based. You must also include an accountant's certificate of confirmation. This must include details of the accountant's registration with any appropriate regulatory body in the country in which those accounts have been prepared.

If you are not required by the applicable laws in the jurisdiction in which your business is based to submit audited or unaudited accounts, you may instead submit a balance sheet along with a profit and loss statement for the relevant financial years, together with an accountant's certificate of confirmation as described above.

Exception for businesses listed on specified stock exchanges

You do not have to submit evidence of your overseas trading presence if your overseas business is listed on either:

- the London Stock Exchange Main Market or AIM market
- an international stock exchange that the Financial Conduct Authority considers to have an equivalent level of regulation to UK markets – see <u>FCA List of</u> <u>Regulated Markets</u>

Exception for Australian or Japanese businesses

If your linked overseas business is an Australian or a Japanese business, you only need to send evidence of your overseas trading presence covering the 12 months before the date of your application.

However, if you do not show that you have been trading for 3 years, you will only be permitted to sponsor one person at a time. If you wish to sponsor more than one person, you must submit evidence covering at least a 3-year period, as specified above.

Evidence of your planned expansion to the UK

You must submit all of the following:

- information about your overseas business this must include:
 - $\circ\;$ which sector, or sectors, that business operates in
 - a current hierarchy chart for the overseas business detailing any linked entities, the names of any owners, directors and board members, and the total number of employees
 - a summary of the overseas business's last 12 months of business activity and its financial position (if this is not already included in any annual report you send)
- a business plan or similar document for your UK business this must include:
 - your reasons for expanding to the UK
 - o which sector or sectors you intend to operate in
 - o your proposed overall investment in the UK
 - projected operating costs or expenditure for at least the first 12 months of activity in the UK
- information about any jobs you intend to fill in the UK this should include:
 - the job title, occupation code, and salary of those jobs
 - if you have already identified a worker (or workers), their name, nationality, date of birth, immigration status (if they're in the UK), and how you identified the worker was suitable for the role

You must also submit at least one of the following documents if they are relevant to your business or have not already been submitted under one of the other headings above (you do not have to submit any of these documents if you are listed on a <u>specified stock exchange</u>):

- evidence of market research conducted and detailed reasoning for choosing the UK as a viable market to expand to (if not included in the business plan)
- where the expansion is subject to a shareholder vote process, as detailed in the company's original articles of incorporation or equivalent, you must send evidence that this process has been followed (this may form part of the company's filed accounts)
- annual reports and investor information
- evidence of engagement with, or advice sought from, specialist advice companies, such as company formation businesses, relocation firms, UK corporate law services, tax services, or the British Chamber of Commerce

If any documents you submit as evidence of your expansion have been produced either wholly or in part by a third party (for example, where market research was outsourced to a specialist company), you must also include certified copies of the contract or agreement for that piece of work with the third party.

3.11. Additional information for Skilled Worker and Minister of Religion

If you're applying for a licence under <u>Skilled Worker</u> or <u>Minister of Religion</u>, you must provide the information below. You should include the information in a covering email or letter, together with any relevant documents listed below.

This is in addition to the 4 documents specified elsewhere in this guidance.

You do not need to submit this information if you're an organisation listed in <u>section</u> 5.

About your organisation

You must tell us:

- why you're applying for a sponsor licence
- which sector, or sectors, you operate in (Skilled Worker only)
- what your normal opening or operating hours are (Skilled Worker only)

You must also provide a current hierarchy chart detailing any:

- owner
- director
- partner
- board members

If your organisation has 50 employees or fewer, you must also list all employees and set out their names and job titles.

Jobs you intend to fill

You must tell us about any current vacancies you have, or jobs you intend to fill, including any for which you intend to assign a Certificate of Sponsorship (CoS) if you are granted a sponsor licence. You should include the following information for each job:

- job title
- occupation code (see section S3 of <u>Part 2: Sponsor a worker</u> for guidance on occupation codes)
- main duties of the job
- where the job sits on the hierarchy chart referred to above
- normal weekly hours of work
- how much you will pay the worker
- the skills, experience and qualifications required for the job

If you've already identified a worker

If you've already identified a worker and intend to assign a CoS to them, you must explain (and provide evidence of) how you identified the worker. See 'Evidence of recruitment activity' in <u>Appendix D to the sponsor guidance</u> for examples of the type of evidence you can send.

You must also retain this evidence as part of your record-keeping duties if you're granted a sponsor licence.

For each worker you intend to assign a CoS to, you should provide the following details:

- their full name
- their date of birth
- their nationality
- their current immigration status (if they're already in the UK)

If they're already working for you, you must also:

- tell us their current job title and duties
- provide copies of their last 3 months' payslips (or all payslips if they've been working for you for less than 3 months)

3.12. Qualifying link to an overseas business

If you're applying under the following Global Business Mobility routes, you must submit evidence you have a qualifying link to an overseas business:

• Graduate Trainee, or Senior or Specialist Worker: you must be linked by common ownership or control or by a joint venture agreement to the overseas business

 UK Expansion Worker: the UK company must be linked by common ownership or control to the overseas business as specified in section GBM3 of <u>Sponsor a</u> <u>Global Business Mobility worker</u> – joint venture agreements are not acceptable on this route

See section GBM2 of Sponsor a Global Business Mobility Worker for guidance on what we mean by 'common ownership or control' and 'joint venture agreement'.

Common ownership or control

If you are registered on Companies House as a <u>UK establishment of an overseas</u> <u>company</u>, you need only tell us your Companies House reference number (which will normally begin with the letters 'BR') and we will check this online. You do not need to send any additional evidence of your link.

Otherwise, you must send at least one of the documents listed below. The document must clearly show the link between you ('the UK entity') and the overseas business ('the overseas entity'). Where the relevant document or information is available online, tell us in your application where to find the information and we will check it online:

- an affidavit or a statutory declaration signed by a senior partner or senior executive within the UK entity, clearly identifying all of the relevant connected entities in the UK and overseas
- the most recent audited accounts, or audited annual report, of the head office or parent company, if these clearly show the link between the two entities
- if you are, or the linked overseas entity is, registered on the London Stock Exchange, or one of the <u>FCA-approved international stock exchanges</u>, a notarised statement by the company secretary of the organisation, clearly setting out the global corporate structure with ownership percentages of each related corporate entity, together with your registration number on the relevant stock exchange
- a certified copy of the share register, or equivalent, of one of the entities, clearly showing one entity has ownership of the other, or a copy of the share registers of both entities clearly showing the common parent company
- a certified copy of the agreement naming both entities as parties, or one entity as a party and the other entity as the subject of an agreement which allows one entity to control the composition of the other entity's board
- a certified copy of the agreement naming both entities as parties, or one entity as a party and the other entity as the subject of an agreement which allows one entity to cast, or control the casting, of more than half the maximum number of votes that might be cast at a general meeting of the other entity
- Articles or Memorandum of Association (or similar constitutional document) of either entity, or both entities, if these clearly show the link between the two entities

Law and accountancy firms

If you are a law or accountancy firm applying under either Senior or Specialist Worker or Graduate Trainee, we will accept the following as evidence of common ownership or control (if relevant to your organisation):

- a certified copy of the agreement which allows both entities to use a trademark which is registered or established under the laws of the UK and the jurisdiction of the overseas entity's country of operation
- a certified copy of the agreement which allows both entities to operate under the same name in the UK and in the jurisdiction of the overseas entity's country of operation

Joint venture agreement

If the link between the two companies is the result of a joint venture agreement (or an agreement deemed equivalent to a joint venture agreement), you must submit as many as possible of the following documents as are relevant to your circumstances:

- if a new company has been formed by the joint venture, you should tell us the relevant Companies House reference number or numbers and confirm which entities are involved in the joint venture and who are the owners of the new company
- evidence of public announcements of the joint venture
- a copy of an official letter from the overseas company (or a foreign investor) to Ministers confirming their intention to invest in the UK, naming the entities involved in the joint venture
- if the joint venture has a previous history of working with the <u>Department for</u> <u>Business and Trade (DBT)</u> or economic devolved government departments in Scotland, Wales or Northern Ireland, we may accept evidence via the DBT (or devolved equivalent) listing online of the joint venture
- a copy of the binding contract or partnership agreement, signed by all relevant parties, between the entities in the joint venture agreement – this must include the names and positions of the signatories, the investment or ownership agreement of the enterprise, and timescales and phases of the project

Agreement deemed equivalent to a joint venture agreement

An agreement deemed equivalent to a joint venture agreement is one where either:

- the agreement would constitute a joint venture agreement but the law of the country of operation does not permit joint ventures
- one of the entities is not permitted to enter into joint ventures in the country of operation

We will accept such an agreement, provided you submit the relevant evidence listed under 'joint venture agreement' above.

4. Other documents you can send

If you've read sections 2 and 3 and do not have the <u>minimum number documents</u> you need, you can send any relevant documents from this section to take your total to the minimum number.

You do not have to send any documents from this section if you're either:

- applying under <u>UK Expansion Worker</u>
- an organisation listed in section 5

You can choose more than one document from each subsection below (unless stated otherwise).

4.1. **Proof of relevant HMRC registration**

You can send any of the following if they are relevant to your organisation:

- proof you have <u>registered with HMRC as an employer for PAYE</u> this must be a document issued by HMRC with your employer or PAYE reference number and accounts office reference number
- proof you have <u>registered with HMRC to pay Corporation Tax</u> this could be your most recent acknowledgement of a Company Tax Return (CT620), or the completed CT600 tax return and CT603 notice
- proof you have <u>registered with HMRC for VAT</u> this could be either a copy of your VAT registration certificate, or you can tell us your VAT registration number and we will do an online check
- evidence of submitting returns to the <u>HMRC Foreign Entertainers Unit</u>

If you're a sole trader, you can send proof you've <u>registered with HMRC as a self-employed person</u>, such as:

- a letter from HMRC which confirms your registration and Unique Taxpayer Reference (UTR)
- your latest annual self-assessment tax return to HMRC this must be a Statement of Account (SA300 or SA302)
- evidence of payment of National Insurance contributions as a self-employed person

If you're a partnership, you can send proof you've <u>registered with HMRC as a</u> <u>business partnership</u> – this could be the same evidence listed above for sole traders and include the UTR for both the partnership and each individual partner.

4.2. Accounting or financial information

You can send either (or both) of the following:

- your most recent financial report or audited annual report
- your most recent annual accounts

If this information is available to view online without paying a fee (for example, on the Companies House website), you can simply tell us the relevant website address and we will do an online check. If the information is not available to view online (or is only available for a fee), you must send us the relevant document or documents.

If you are legally required under the <u>Companies Act 2006</u> to file audited accounts, you must ensure they have been audited by an accountant who:

- is independent of your organisation
- is legally qualified to carry out a statutory audit
- is a member of a <u>recognised supervisory body or a recognised qualifying body</u>

The name of the accountant must clearly be shown.

If you are not legally required to file audited accounts, you should ensure any accountant you use to prepare or certify your accounts is a member of a recognised professional accountancy body and their name should be clearly shown on the accounts.

4.3. Banking information

You can send either:

- your most recent corporate or business bank or building society statements (if not already submitted under <u>where required under section 2.3</u>)
- a letter from your bank or building society setting out the dealings it has had with you, including the nature and duration of those dealings

If you send both documents, they will count as only one document. The only exception is if you have been operating or trading for less than 18 months (see section 2.3), in which case you can send a letter as described above, in addition to a bank or building society statement, and these will count as 2 documents.

4.4. Proof of relevant international stock exchange listing

If you are listed on any of the stock exchanges listed below under the same name in which you're applying for a sponsor licence, you can simply tell us in a covering email or letter which list you are on, and we will check your entry online:

- London Stock Exchange AIM Market
- an overseas investment exchange recognised by the Financial Conduct Authority
- an international stock exchange recognised by HMRC
- the London Stock Exchange International Companies listing

If you are listed under a different name to the one in which you are applying for a sponsor licence, you must explain the difference and send any relevant supporting evidence to show you are the same company.

4.5. Miscellaneous documents

You can send any of the following if they are relevant to your organisation:

- evidence you have employer's liability insurance cover for at least £5m from <u>an</u> <u>insurer authorised by the Financial Conduct Authority</u>
- proof of ownership or lease of your business premises if you send a copy of your lease agreement, it must be signed by all parties concerned
- evidence of recent business activity for your business, such as client invoices or contracts for services
- evidence of local authority planning permission or similar for your type or class of business
- alcohol licence for your premises issued by a local authority or court
- evidence of any non-mandatory registration or accreditation with a professional or accreditation body (where such registration is not a legal requirement for you to operate or trade legally in the UK)

5. Organisations with different requirements

5.1. Who this section applies to

This section applies if you're any of the following:

- a <u>UK government department, government agency or other public body</u> listed on GOV.UK
- a UK public body not listed on the GOV.UK link referred to above
- a local council (local authority) listed on one of the following 'council finder' websites:
 - Find your local council (GOV.UK)
 - Find your local council (mygov.scot)
 - Find your local authority (gov.wales) / Dod o hyd i'ch awdurdod lleol (llyw.cymru)
 - Local councils in Northern Ireland (nidirect.gov.uk)
- a diplomatic mission or consular post of a country or territory recognised by the UK
- a recognised international organisation included on the '<u>list of international</u> organisations whose employees qualify for exempt entry clearances' on GOV.UK
- a company listed on the London Stock Exchange Main Market
- applying under the Scale-up route

If you are listed on any of the websites mentioned above, tell us this in your application or in a covering email or letter, so we can do an online check.

If you are listed on the London Stock Exchange Main Market, you should include your reference number in your application.

If you're applying under Scale-up, you must include in your application form the relevant reference numbers specified in section SC2 of <u>Sponsor a Scale-up Worker</u>.

5.2. Documents you must submit

If you're an organisation listed in this section, the general requirement to submit a minimum of 4 documents does not apply. You must send with your application:

- documents from <u>section 2.1 (charities)</u> or <u>section 2.4 (regulated</u> <u>organisations)</u>, if they are relevant to your organisation
- any route-specific documents specified in <u>section 3</u>
- any additional documents specified in 5.3 or 5.4 below, if they are relevant to your organisation

You do not have to send any documents from section 4. Therefore, if there are no mandatory documents from section 2 or section 3, or additional documents specified below, you do not need to send any documents with your application.

5.3. Additional document for unlisted public bodies

If you are a public body not listed on the GOV.UK link at 5.1 above, you must send either:

- a letter from your sponsoring government department which clearly says you are a public body
- if your details are published on your sponsoring department's website, a covering email or letter giving the name of your sponsoring department so we can do an online check

5.4. Additional document for diplomatic missions, consular posts or international organisations

You should first check whether the workers you wish to employ are <u>exempt from</u> <u>immigration control</u> – if they are, you will not need to sponsor them.

If you wish to apply for a licence to sponsor workers who are not exempt from immigration control, you must send a signed letter from your Head of Mission or Head of Organisation, as described in section IAW2 of <u>Sponsor an International</u> <u>Agreement worker</u> – you must send this, even if you're applying on a route other than International Agreement.

You should ensure your Head of Mission or Head of Organisation is aware that your application for a sponsor licence is deemed to include an acknowledgement that we may seek from them a limited waiver of inviolability and of immunity to enter your residence or premises to undertake any necessary compliance activity. This could be while your sponsor licence application is being considered or after your licence has been granted.

If you're applying under International Agreement only (and no other route), you do not need to send any other documents with your application.

6. Format of documents

This section tells you how to ensure any documents you send are in the correct format and about the checks we may make on documents.

6.1. What counts as a 'document'

In this guidance, a 'document' can be any of the following:

- the result of an online check (where you do not have to send an actual document)
- some information you have to give us (for example, in a covering email or letter, or in your online sponsor licence application form)
- an electronic copy of a document (a scan or photograph of an original document)
- exceptionally, an original document, or a certified 'hard' copy of an original document

In some cases, a combination of documents counts as one document. For example, if you're asked to provide information under the heading '<u>Evidence you are an</u> <u>eligible religious organisation</u>', you may need to send several items under that heading. Together, these will count as one document.

6.2. Online checks

Wherever possible, we will check information available online (for example, by referring to an online register or downloading a document), instead you having to send an electronic or a physical copy of a document.

For example, if you need to send <u>proof of your charitable status</u>, and you're listed on a charity regulator's website, we will check your entry on that website. If you are listed, this will count as a 'document' and you won't need to send any further evidence of your charitable status.

If you're listed under a different name to the one in your sponsor licence application, explain the reason for the difference in a covering email or letter and include any relevant supporting evidence to show you're the same organisation.

We may need your help to find the relevant web page. If the information is on a website not specified in this Appendix, tell us the website address, or other unique identifier (such as a reference or registration number), so we can make the online check. You can include this information in your application form or in a covering email or letter.

If we have to pay a fee to access the relevant information, you must send an electronic copy of the evidence instead.

6.3. Electronic copies of documents

If the relevant information isn't available online (or is only available for a fee), you must normally send us an electronic copy of the relevant document, or documents, to the email address given on the submission sheet.

Scan or take pictures of your submission sheet and supporting documents. Make sure your files:

- are in PDF (preferred), JPEG or PNG format
- have descriptive file titles, with 25 or fewer characters avoid using accented characters (such as é) or special characters (such as #) in your file names
- are of high enough quality to read

To minimise file sizes, scan your pictures in black and white or greyscale. Save pictures taken by phone as small or medium size files.

6.4. Original documents or certified copies

You do not normally need to send any documents by post. However, we reserve the right to request original documents or certified copies. We will return any original documents by Royal Mail 'Signed For' delivery to the address of the Authorising Officer in the online sponsor application.

If you are asked to send certified copies of documents to us by post, the person certifying the documents must be independent of your organisation and be one of the following:

- employed by the organisation that issued the document
- a practising barrister
- a solicitor
- a chartered legal executive
- a notary
- a chartered accountant (for certification of financial documents only)

The person must not be any of the following:

- related to you
- living at the same address as you
- in a personal relationship with you
- employed directly by you

The person certifying the document must do all of the following:

- write 'Certified to be a true copy of the original seen by me' on the document
- sign and date the document
- print their name under the signature
- add their occupation, address and telephone number

If the document you wish to certify has more than one page, make sure the pages are bound together and the certification statement confirms the number of pages the document contains.

Printouts of PDF files are copies of an original document and must be certified as described above. The certifier must confirm they have seen the original email containing the file.

If a certifier's details cannot be verified, or the copy does not meet the requirements set out above, we will reject the documents.

6.5. Affidavits and statutory declarations

If you send any affidavits or statutory declarations with your application (either electronically or by post), we must be able to see that these have been witnessed by a qualified, independent person – for example, a solicitor, Notary Public, Justice of the Peace, Commissioner for Oaths, or (in Scotland only) a Councillor.

6.6. Documents not in English or Welsh

If any of your supporting documents are not in English or Welsh, you must also provide a certified translation. The translator or translation company must confirm in writing on the translation:

- that it's a 'true and accurate translation of the original document'
- the date of the translation
- the full name and contact details of the translator or a representative of the translation company

6.7. Checks we make on your documents

We may check the details, validity or genuineness of any documents or information you send. We will make these checks with the issuing body (for example, a bank, regulatory body or government department, either in the UK or overseas).

We use the following process to verify documents:

- we use a standard format to record the results of our enquiries to ensure we record feedback consistently
- if we cannot get an immediate answer to our enquiries, we will normally wait for a maximum of 6 weeks for the information
- we may decide that a compliance officer needs to conduct either a compliance visit to your premises or a digital compliance inspection via remote videoconferencing facilities

Outcome of document checks

There are 3 possible outcomes:

• document confirmed as genuine - we will consider your application as normal

- document confirmed as false we will refuse your application (whether or not the document is essential to your application) and may refer the details to the police or other relevant authority
- check inconclusive we will not consider the document as evidence to support your application and we may ask you for further supporting documents

7. Examples of how to choose supporting documents

This section contains examples of how to put together the minimum number of documents to support your sponsor licence application. They are for guidance only and are not exhaustive – it's your responsibility to ensure you identify the correct documents and information to send with your application.

7.1. Example 1: Charity Worker

You are a registered charity based in England and wish to apply for a Charity Worker licence. You have been operating in the UK for less than 18 months. You are not an organisation listed in section 5.

You must send 4 documents, including the following mandatory documents from section 2:

- proof of your charitable status if you are on the Charity Commission for England and Wales register under the same name in which you're applying, simply tell us your registration number and we'll do an online check
- your most recent corporate or business bank or building society statement (issued by an authorised UK bank or building society)

If there are no other relevant documents in sections 2 and 3, you can choose any 2 documents from <u>section 4</u>.

7.2. Example 2: Creative Worker (sole trader)

You are a music promoter and you wish to apply for a Creative Worker licence. You are a sole trader and have been trading for longer than 18 months.

You must send 4 documents with your application. There are no route-specific documents for the Creative Worker route. If you are not an organisation listed in section 2, you must choose all of your documents from section 4, for example:

- proof you have registered with HMRC as a sole trader, such as a letter confirming your Unique Taxpayer Reference
- a copy of your latest self-assessment return
- evidence of sending returns to the HMRC Foreign Entertainers Unit
- your latest business bank statement

7.3. Example 3: International Sportsperson (sports club and charity)

You are a sports club and registered charity based in Scotland. You wish to apply for an <u>International Sportsperson licence</u>. You have been operating or trading for more than 18 months.

You must submit 4 documents, including the following mandatory documents:

- <u>proof of your charitable status</u>: if you're listed on the Scottish Charity Regulator website under the same name in which you're applying, simply tell us your registration number and we'll do an online check
- your sports governing body endorsement letter, containing your unique reference number, issued by an approved sports governing body

If there are no other relevant mandatory documents specified in sections 2 or 3, you must choose 2 further documents from section 4.

7.4. Example 4: Skilled Worker (care provider in England with branches)

You are an adult social care provider and you are applying for a <u>Skilled Worker</u> <u>licence</u> to sponsor workers under occupation codes 6135 (care workers and home carers) and 6136 (senior care workers). The roles will be based in England. You have been operating for less than 18 months. You have 3 branches you wish to include on your licence.

You must send the mandatory information in section 3.11 <u>about your organisation</u> and jobs you intend to fill.

You must also submit 4 documents, including 2 mandatory documents from section 2:

- as you've been <u>operating or trading for less than 18 months</u>, you must submit your latest corporate or business bank or building society statements
- <u>evidence of your regulation</u> this must include:
 o confirmation of which regulated activities you carry out
 - your Care Quality Commission (CQC) reference number (and the CQC number for each branch you wish to include on your licence) confirming 'active' registration
 - information about the working location of any jobs you intend to sponsor under occupation codes 6135 or 6136

If there are no other relevant mandatory documents in sections 2 or 3, you must submit 2 additional documents from section 4.

7.5. Example 5: Skilled Worker (listed on the London Stock Exchange)

You are an insurance company listed on the London Stock Exchange (LSE) Main Market and you are applying for a Skilled Worker licence.

We will check your LSE listing online. Provided you are listed under the same name in which you are applying for a licence, you do not need to send any further proof.

As you are undertaking a regulated financial activity (insurance), you must also prove you are regulated by the Financial Conduct Authority (FCA) and/or Prudential

Regulation Authority (PRA). If you tell us the name of your regulator (and registration number), we can check this online.

As an organisation listed in <u>section 5</u>, you do not need to send any other documents.

7.6. Example 6: multiple routes (Skilled Worker, Senior or Specialist Worker and Graduate Trainee)

You are UK subsidiary of an overseas company. You operate in the financial services sector. You are applying to be licensed under Skilled Worker, Senior or Specialist Worker and Graduate Trainee. You have been trading in the UK for less than 18 months. You are not an organisation listed in section 5.

You must submit a minimum of 4 documents, including any documents specified as mandatory in sections 2 and 3.

As you are applying under Skilled Worker, you will also need to send <u>information</u> <u>about your organisation and the jobs you intend to fill</u>. This is in addition to the 4 documents.

You must submit the following documents from section 2:

- as you have been trading for less than 18 months in the UK, you must submit your most recent corporate or business bank statements
- as you are undertaking a regulated financial activity, you must submit proof you are registered with the FCA or PRA as appropriate (we can check this online if you tell us who regulates you and your registration number)

You must also submit the following route-specific documents from section 3:

- proof you have a qualifying link to an overseas business (mandatory for Senior or Specialist Worker and Graduate Trainee)
- evidence of your graduate training programme (mandatory for Graduate Trainee)

Since you have already identified 4 documents from sections 2 and 3, you do not need to send any documents from section 4.

7.7. Example 7: Scale up and Skilled Worker

You are applying to be licensed on both the Scale-up and Skilled Worker routes. As an organisation listed in <u>section 5</u>, you are exempt from sending the information specified for Skilled Worker sponsors in section 3.11 or documents from section 4.

Therefore, you need only send documents from section 2.1 (proof of charitable status) or section 2.4 (proof of registration with a regulatory body), if they are relevant to your organisation. If you are not a charity or subject to regulation, you do not need send any documents with your application.