



UK Visas
& Immigration

The sponsorship management system (SMS) manuals

Step by step guide for sponsors

Manual 3 of 13: Apply for Basic Compliance Assessment and manage Action plans.

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Additional SMS manuals

There are 13 SMS manuals available, plus a supplementary policy manual for completing a CAS. The manuals are grouped into three categories: common, CAS and CoS. The table below describes the purpose and audience of each manual. You should read all manuals applicable to your licence before contacting the relevant helpdesk.

Manual reference	Manual title	Type	Purpose	Audience
Manual 1	Introduction to SMS & managing user access	Common	Use this manual to log into SMS, change your password, manage SMS users and view important messages posted by the Home Office. In addition, this manual explains who should use SMS and for what purpose. The manual features a full introduction to SMS as well as a comprehensive troubleshooting section.	All sponsors
Manual 2	Managing your licence	Common	To help sponsors manage their key personnel, change their licence details, manage PAYE references, and apply for allocations of CoS/CAS.	All sponsors
Manual 3	Apply for Basic Compliance Assessment and manage Action plans	Common	To help sponsors apply for Basic Compliance Assessment and manage action plans.	All sponsors

Manual reference	Manual title	Type	Purpose	Audience
Manual 4a	Creating a CAS – guide for education sponsors	CAS	This manual contains supplementary information on completing a CAS. Use this guide to determine what information is necessary in each field of the CAS.	Sponsors licensed in the Student Route
Manual 5	Reporting student activity	CAS	To help sponsors report student activity, for example if a student's circumstances change. This manual also contains help with reporting fee updates and adding sponsor notes to CAS that have already been assigned.	Sponsors licensed in the Student Route
Manual 6	Miscellaneous CAS functions	CAS	To help sponsors complete all other functions of CAS, such as managing batches of CAS, managing pre-stored addresses for use when creating CAS, transferring ownership of CAS, printing CAS and exporting CAS.	Sponsors licensed in the Student Route
Manual 7	Bulk Data Transfer of CAS	CAS	To help sponsors use the bulk data transfer (BDT) functions of SMS, including graduate notifications. You must have a bespoke IT system in place to use BDT.	Sponsors licensed in the Student Route

Manual reference	Manual title	Type	Purpose	Audience
Manual 8	Creating and assigning CoS	CoS	To help sponsors create and assign individual and batches of CoS.	Sponsors licensed in any Worker or Temporary Worker route
Manual 9	Reporting worker activity	CoS	To help sponsors report worker activity, for example if a worker's circumstances change. This manual also contains help with adding sponsor notes to CoS that have already been assigned.	Sponsors licensed in any Worker or Temporary Worker route
Manual 10	Miscellaneous CoS functions	CoS	To help sponsors complete all other functions of CoS, such as managing batches of CoS, managing pre-stored addresses for use when creating CoS, transferring ownership of CoS, and printing CoS.	Sponsors licensed in any Worker or Temporary Worker route

Manual reference	Manual title	Type	Purpose	Audience
Manual 11	Temporary Work - Creative Worker groups of CoS	CoS	To help sponsors create and manage groups of CoS. Groups of CoS are only available to sponsors licensed in Temporary Work - Creative Worker.	Sponsors licensed in the Temporary Worker - Creative and Sporting route
Manual 12	Defined CoS	CoS	To help sponsors apply for defined CoS, track applications for defined CoS and once granted, create defined CoS.	Sponsored licensed in Skilled Worker
Manual 13	Multi-factor authentication	Common	To provide sponsor with an extra layer of security for your SMS account	All Sponsors

Glossary

Term	Meaning
SMS	Sponsorship Management System
CoS	Certificate of Sponsorship
CAS	Confirmation of Acceptance for Studies
AO	Authorising Officer
KC	Key Contact
BDT	Bulk Data Transfer
SELT	Secure English Language Test
.XML	Extensible Mark-up Language
.PDF	Portable Document Format
MFA	Multi-Factor Authentication
OTP	One Time Passcode

Guide 1: How to apply for, or decline to apply for a Basic Compliance Assessment (Student Sponsor status)

Follow the step by step instructions to apply for, or decline to apply for a Basic Compliance Assessment. You must be licensed under Student Route and rated 'Probationary sponsor' (displayed as 'A-rated' in SMS) for 11 months to initially apply for a Basic Compliance Assessment. You should check the **Licence summary** screen to see when you are eligible to apply for a Basic Compliance Assessment.

You should read the [Sponsorship policy guidance](#) before applying for a Basic Compliance Assessment.

Step	Instruction	Screen example
1	From Licence summary, applications and services screen, select Apply for Basic Compliance Assessment .	Apply for Basic Compliance Assessment Apply for a Basic Compliance Assessment Help (opens in a new window) Applications and renewals tracking View the status of the following application types:

Step	Instruction	Screen example
2	From the Basic Compliance Assessment application introduction screen, select Next. To decline to apply for a Basic Compliance Assessment, select Decline and see <i>Step 6</i> for further instructions.	Basic Compliance Assessment application introduction How to apply for a Basic Compliance Assessment You can apply for a Basic Compliance Assessment from this screen. You must be licensed in the Student Route and meet the relevant criteria to be able to apply. You must make your application within the application period indicated on the 'Licence summary' screen. If you try to apply before or after this period, you will be unable to proceed with the application. If you fail to apply for a Basic Compliance Assessment by the end of the application period, action will be taken to withdraw your sponsor licence. You must check the fee below and choose Next to continue. If you hold Student Premium Sponsor status, the fee for your application will be zero. If you do not want to apply for a Basic Compliance Assessment If you do not want to continue to be a sponsor, you can select to decline to apply for a Basic Compliance Assessment. You must choose Decline to continue and complete a declaration to surrender your licence before your application period ends. If you do not take action before this date, action will be taken to withdraw your sponsor licence. WARNING: once you decline to apply for a Basic Compliance Assessment, the option to apply will no longer be available to you. If you do not wish to continue choose Cancel to return to the menu page. Help (opens in a new window) Fee Student Sponsor status renewal fee ☒ £536.00 Cancel Decline Next
Note	1. If the Next button is unavailable (greyed out), you are not eligible to apply for Student Sponsor status at this time. You can apply for a Basic Compliance Assessment to renew your Student Sponsor status up to 31 days in advance of your Student Sponsor status end date.	

Step	Instruction	Screen example
3	From the Basic Compliance Assessment application declaration screen, complete the date, your name, your position in the organisation and tick the declaration box. When complete, select Continue.	Basic Compliance Assessment application declaration All fields are mandatory and must be completed before you can choose Continue to submit your request. You will not be able to make any changes to your request once you have submitted it and your application is not complete until you have paid. You (the Level 1 user) must have the authority of the Authorising Officer to submit this application, and the 'Name' and 'Position within the organisation' entered below should be yours (the Level 1 user). If you do not wish to continue, choose Back to return to the previous screen or Cancel to return to the main menu. Help (opens in a new window) Declaration I hereby declare that the information given is, to the best of my knowledge and belief, true and correct: * Date (dd/mm/yyyy): * Name: * Position within the organisation: * ☐ Cancel Back Continue

Step	Instruction	Screen example
4	From the Basic Compliance Assessment payment screen, select OK to proceed with the transaction; this will open our contracted third party payment service (Worldpay).	Basic Compliance Assessment application payment You are about to be redirected to a third party online payment service to pay. Once you have paid, you will be brought back to the sponsorship management system to confirm that your payment has been successful. All payments must be made in pounds sterling (£). Choose OK to be redirected to WorldPay, or If you do not want to proceed choose Cancel to return to the main menu. The following cards will be accepted:  Electronic payments are powered by:  Payment The cost of the Basic Compliance Assessment application is displayed below. Payment amount Amount: £536.00 Cancel Back OK

Step	Instruction	Screen example														
5	Once the payment process is complete, the Basic Compliance Assessment submission confirmation screen is displayed. Select Submission sheet.	Basic Compliance Assessment submission confirmation Your application for a Basic Compliance Assessment has been successfully submitted. When your application has been decided, we will contact you with the outcome. You can also view and track the progress and outcome of your application on the Applications and renewals tracking screen. You should print the submission sheet and retain it for your records only; you must have a PDF viewer installed to complete this action. You do not need to send a copy to us. <table><tr><td>Sponsor name:</td><td>AG UAT Testing</td></tr><tr><td>Application reference:</td><td>S00016018</td></tr><tr><td>Customer service level:</td><td>RENEWAL</td></tr><tr><td>Fee paid:</td><td>£536.00</td></tr></table><table><tr><td>Name:</td><td>Paul</td></tr><tr><td>Date (dd/mm/yyyy):</td><td>23/11/2020</td></tr><tr><td>Position within the organisation:</td><td>Manager</td></tr></table> Submission sheet	Sponsor name:	AG UAT Testing	Application reference:	S00016018	Customer service level:	RENEWAL	Fee paid:	£536.00	Name:	Paul	Date (dd/mm/yyyy):	23/11/2020	Position within the organisation:	Manager
Sponsor name:	AG UAT Testing															
Application reference:	S00016018															
Customer service level:	RENEWAL															
Fee paid:	£536.00															
Name:	Paul															
Date (dd/mm/yyyy):	23/11/2020															
Position within the organisation:	Manager															

Note You **do not** need to send the submission sheet to us, but you should print and save a copy for your own records.

Step**Instruction****Screen example****6**

To decline:

From the **Decline to apply for a Basic Compliance Assessment – declaration** screen, complete the date, your name, your position in the organisation and tick the declaration box.

When complete, select **Next**.

Decline to apply for a Basic Compliance Assessment - declaration

You must read the statement below. If you do not want to apply for a Basic Compliance Assessment because you want to surrender your Student Route licence, complete the declaration below and choose **Next**.

If you do not wish to continue, choose **Back** to return to the previous screen or **Cancel** to return to the menu.

- I confirm that I do not wish to apply for a Basic Compliance Assessment and that I wish to surrender my licence in the Student Route.
- I confirm that I have discussed the consequences of declining to apply for a Basic Compliance Assessment with my Authorising Officer and that he / she understands and agrees to this course of action.
- I confirm that my Authorising Officer will complete and return the appropriate declaration confirming that they agree to surrender this Student Route licence before the end of the application period and I acknowledge that action will commence to withdraw this licence if they fail to do so.

[Help \(opens in a new window\)](#)

Declaration

I hereby declare that the information given is, to the best of my knowledge and belief, true and correct: *

☐

Date (dd/mm/yyyy): *

Name: *

Position within the organisation: *

Cancel**Back****Next**

Step	Instruction	Screen example
7	From the Basic Compliance Assessment application decline confirmation screen, select Confirm to proceed. If you do not wish to decline to renew/apply, select Cancel.	Basic Compliance Assessment application decline confirmation You must choose Confirm to confirm that you do not want to apply for a Basic Compliance Assessment because you want to surrender your Student Route licence. If you choose Confirm, the option to pay for this application will no longer be available If you do not wish to continue, choose Back to return to the previous screen or Cancel to return to the menu Help (opens in a new window) CancelBackConfirm
Note	If you proceed, you will be unable to reverse this decision and you should surrender your Student Route licence. If you don't surrender your Student Route licence before your Student Sponsor status expires, we will take action to revoke your sponsor licence.	

Step**Instruction****Screen example****8**

From the **Basic Compliance Assessment decline submission confirmation** screen, select **Submission sheet**.

Basic Compliance Assessment decline confirmation

Your decision to decline to apply for a Basic Compliance Assessment has been submitted successfully. You must now surrender your Tier 4 licence. To do so, print the Submission Sheet below; this includes a declaration agreeing to the surrender of your licence, which your Authorising Officer must complete. The submission sheet must be sent to us, by email where possible, within 10 days of the submission of this online request. If we do not receive your properly completed submission sheet within this time we may take action to withdraw your licence.

Sponsor name:	AG UAT Testing
Application reference:	S00016018
Name:	Paul
Date (dd/mm/yyyy):	23/11/2020
Position within the organisation:	Manager

[Submission sheet](#)

Step**Instruction****Screen example****9**

The must send the completed submission sheet to the address specified within the indicated timescale.

**Basic Compliance Assessment – decline to apply confirmation**

Your request to decline to apply for a Basic Compliance Assessment has been successfully submitted online.

Sponsor name: AG UAT Testing
Application reference: S00016018
Date submitted: November 23, 2020

You must now print this submission sheet and your Authorising Officer must sign and date it. You should then scan or take pictures of this sheet and send by email to **StudentSponsorAssessmentUnit@homeoffice.gov.uk** within 10 working days of the date that the online request was submitted. **Please include your sponsor licence number (SLN) in the subject of your email.**

The submission sheet file can be in PDF (preferred), JPEG or PNG format. The file title should:

- be no more than 25 characters long
- be descriptive, e.g. 'HTS decline Oct2020'
- not contain special characters, e.g. # or &
- not contain words separated by dots, e.g. 'HTS.decline.Apr.2020'

Please do not password-protect the file as we will not be able to open it.

The overall size limit of emails that we can receive is 20MB, but your email provider may impose a smaller limit on emails that you can send. To minimise file sizes we recommend scanning in black and white or greyscale, not colour. Pictures taken by phone can be saved as small or medium size files.

If you are unable to provide the submission sheet digitally, please contact us at **StudentSponsorAssessmentUnit@homeoffice.gov.uk**, setting out the issues you have with sending digital files; or call the employer and educational institution helpline on 0300 123 4699.

Surrender declaration - to be completed by the Authorising Officer

I confirm that the information provided on this form is accurate and I wish to surrender my sponsor licence.

Name:

Authorising Officer Signature:

Date:

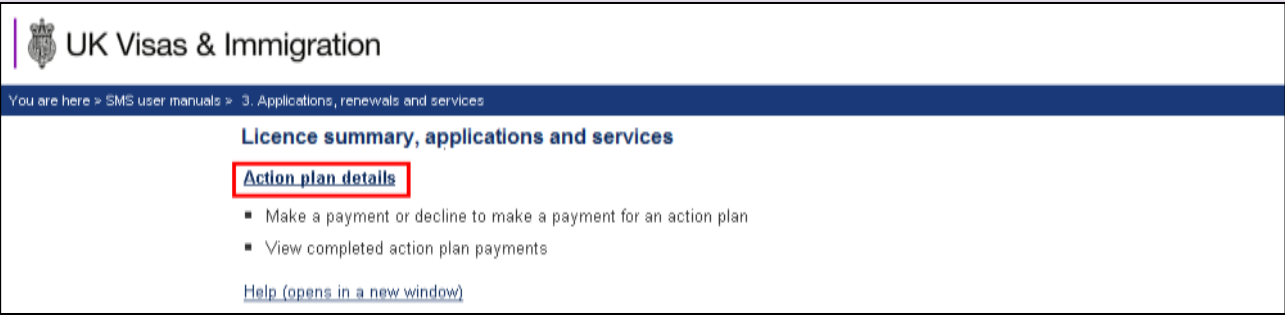
Position in organisation:

Guide 2: How to pay for or decline to pay for an action plan (Worker or Temporary Worker sponsors only)

Follow the step by step instructions to pay for or decline to pay for an action plan.

If we have written to you requesting payment for an action plan, you must use this function to pay, or decline to pay for it. You can also view completed action plan payment requests that have been made using SMS and track the status of an action plan. Only Level 1 users can view and pay for action plans.

You should read the [Sponsorship policy guidance](#) before paying for or declining to pay for an action plan.

Step	Instruction	Screen example
1	From the Licence summary, applications and services screen, select Action plan details .	 The screenshot shows the 'UK Visas & Immigration' header. Below it is a breadcrumb trail: 'You are here > SMS user manuals > 3. Applications, renewals and services'. The main heading is 'Licence summary, applications and services'. Under this heading, the link 'Action plan details' is highlighted with a red rectangular box. Below this link are two bullet points: 'Make a payment or decline to make a payment for an action plan' and 'View completed action plan payments'. At the bottom of the content area is a link that says 'Help (opens in a new window)'.

Step

Instruction

Screen example

From the **Action plan details** screen, you can view your outstanding action plan payments (if applicable).

- 2 Choose the radio button next to the request, then select **Pay**.

At this stage, if you wish to decline to pay, select **Decline** and see *Step 6* for further instructions.

 UK Visas & Immigration

You are here > SMS user manuals > 3. Applications, renewals and services

Action plan details

You can use this screen to select an outstanding action plan payment request; all outstanding action plan payment requests are shown below.

If you have an outstanding action plan payment request and want to pay for the action plan, you must do so before the **payment required by date** below. If you do not pay the fee before this date, action will be taken to withdraw your sponsor licence. If you want to pay for the action plan choose **Pay** to continue.

If you do not want to pay for the action plan because you want to surrender your licence, you must choose **Decline** and complete a declaration before the **payment required by date** below. If you do not take action before this date, action will be taken to withdraw your sponsor licence.

If you do not wish to continue, or you have no outstanding action plan payment requests, choose **Back** to return to the previous page.

[Help \(opens in a new window\)](#)

Any completed action plans are displayed below.

	Payment request date	Payment amount	Payment required by date
☒	03/03/2014	1476.00	17/03/2014

Back **Decline** **Pay**

Completed action plan payment requests

Any completed action plans are displayed below.

There are no completed action plan payment requests

Step

Instruction

Screen example

3

From the **Online payment** screen, select **OK** to proceed with the transaction; this will open our contracted third party payment service (Worldpay).

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You are here > SMS user manuals > 3. Applications, renewals and services

Online payment

You are about to be redirected to a third party online payment service to pay. Once you have paid, you will be brought back to the sponsorship management system to confirm that the action plan fee has been paid. All payments must be made in pounds sterling (£). Choose **OK** to be redirected to WorldPay, or if you do not want to proceed choose **Cancel** to return to the previous screen.

The following cards will be accepted:

Electronic payments are powered by:



Payment

Below are the details of the customer service for which you are applying and the associated cost

Payment amount	
Amount:	£1476.00

4

When the payment process is complete or if no payment was required, the **Action plan payment summary** screen is displayed.

UK Visas & Immigration

You are here > SMS user manuals > 3. Applications, renewals and services

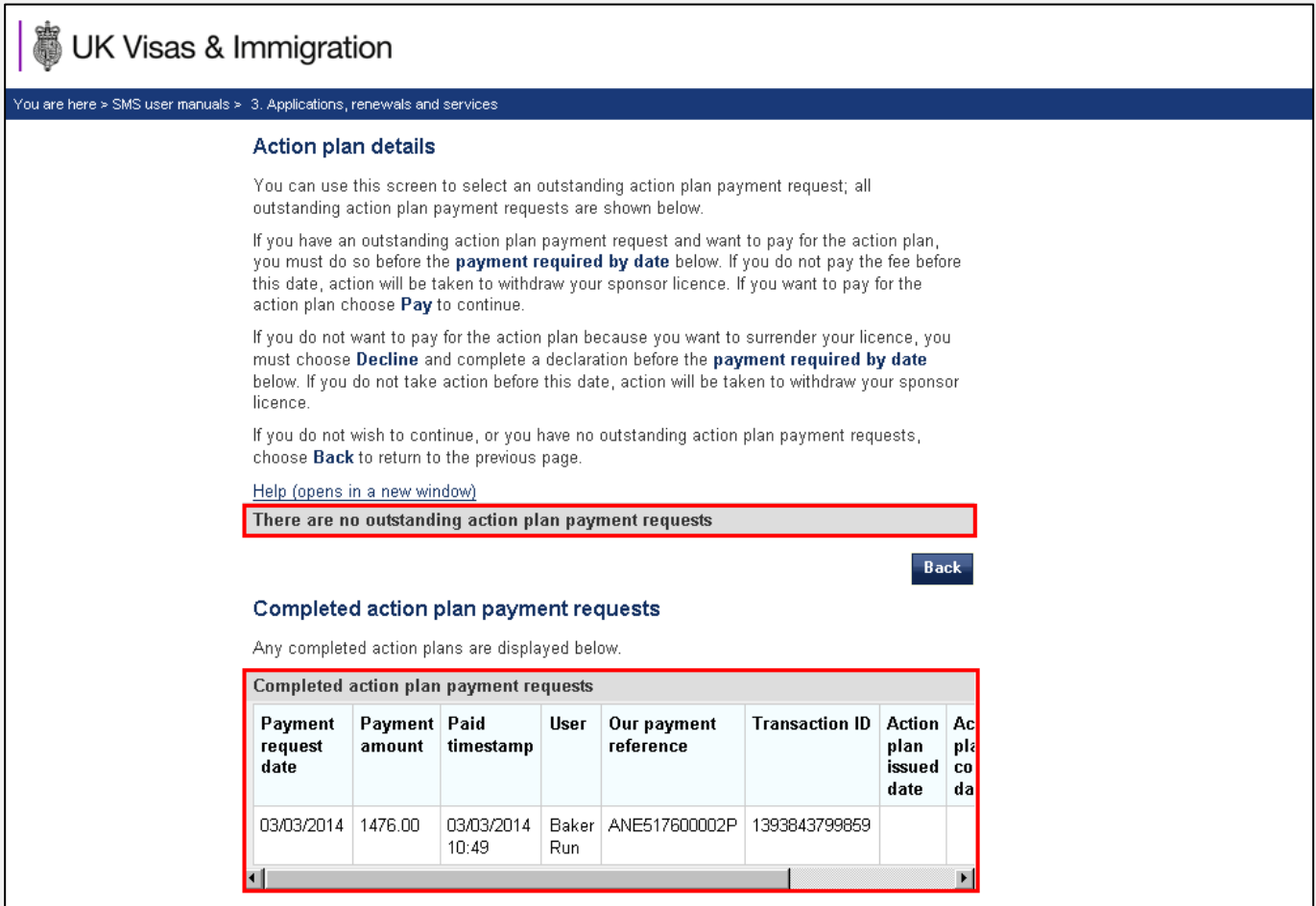
Action plan payment summary

Payment confirmation has been received from WorldPay

Action plan payment details	
Our payment reference	ANE517600002P
Amount:	£1476.00

5

On the **Action plan details** screen, you no longer have any outstanding payments and you can see the **Action plan current status** and the details of the action plan are visible in the **Completed action plan payment requests** section.



UK Visas & Immigration

You are here > SMS user manuals > 3. Applications, renewals and services

Action plan details

You can use this screen to select an outstanding action plan payment request; all outstanding action plan payment requests are shown below.

If you have an outstanding action plan payment request and want to pay for the action plan, you must do so before the **payment required by date** below. If you do not pay the fee before this date, action will be taken to withdraw your sponsor licence. If you want to pay for the action plan choose **Pay** to continue.

If you do not want to pay for the action plan because you want to surrender your licence, you must choose **Decline** and complete a declaration before the **payment required by date** below. If you do not take action before this date, action will be taken to withdraw your sponsor licence.

If you do not wish to continue, or you have no outstanding action plan payment requests, choose **Back** to return to the previous page.

[Help \(opens in a new window\)](#)

There are no outstanding action plan payment requests

Back

Completed action plan payment requests

Any completed action plans are displayed below.

Payment request date	Payment amount	Paid timestamp	User	Our payment reference	Transaction ID	Action plan issued date	Action plan completion date
03/03/2014	1476.00	03/03/2014 10:49	Baker Run	ANE517600002P	1393843799859		

6

To decline:

From the **Decline to pay for an action plan – declaration** screen, if you still wish to decline to pay for your action plan and surrender your sponsor licence, complete the date, your name, your position in the organisation and tick the declaration box.

When complete, select **Confirm**.

UK Visas & Immigration

You are here > SMS user manuals > 3. Applications, renewals and services

Decline to pay for an action plan - declaration

You must read the statement below. If you do not want to pay for the action plan because you want to surrender your licence, complete the declaration and choose **Confirm**.

If you do not wish to continue, choose **Cancel** to return to the previous screen.

- I confirm that I do not wish to pay for this action plan and that I wish to surrender this licence.
- I confirm that I have discussed the consequences of declining to pay for this action plan with my Authorising Officer and that he / she understands and agrees to this course of action.
- I confirm that my Authorising Officer will complete and return the appropriate declaration confirming that they agree to surrender this licence within 14 working days of today's date and that action will commence to withdraw this licence if they fail to do so.
- I understand that by selecting **Confirm** below, the option to pay for this action plan will no longer be available.

[Help \(opens in a new window\)](#)

Declaration

I hereby declare that the information given is, to the best of my knowledge and belief, true and correct: *

Date (dd/mm/yyyy): *

Name: *

Position within the organisation: *

☐

Cancel **Confirm**

Step

Instruction

Screen example

7

After confirming to decline payment for an action plan, you are returned to the **Action plan details** screen, where you can see that you no longer have any items outstanding.

We will contact you to initiate the process of surrendering your licence.

 UK Visas & Immigration

You are here > SMS user manuals > 3. Applications, renewals and services

Action plan details

You can use this screen to select an outstanding action plan payment request; all outstanding action plan payment requests are shown below.

If you have an outstanding action plan payment request and want to pay for the action plan, you must do so before the **payment required by date** below. If you do not pay the fee before this date, action will be taken to withdraw your sponsor licence. If you want to pay for the action plan choose **Pay** to continue.

If you do not want to pay for the action plan because you want to surrender your licence, you must choose **Decline** and complete a declaration before the **payment required by date** below. If you do not take action before this date, action will be taken to withdraw your sponsor licence.

If you do not wish to continue, or you have no outstanding action plan payment requests, choose **Back** to return to the previous page.

[Help \(opens in a new window\)](#)

There are no outstanding action plan payment requests

Back

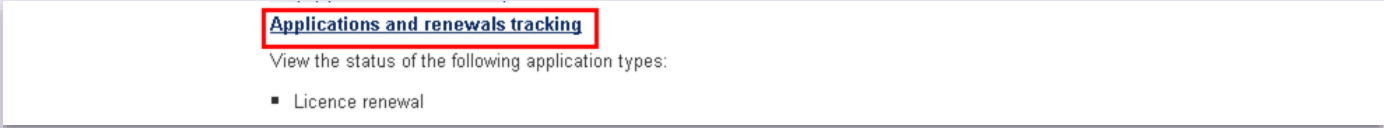
Completed action plan payment requests

Any completed action plans are displayed below.

There are no completed action plan payment requests

Guide 3: How to track new and renewal applications

Follow the step by step instructions to track the progress of your applications for Basic Compliance Assessment

Step	Instruction	Screen example
1	From Licence summary, applications and services screen, select Applications and renewals tracking .	 A screenshot of a software interface showing a menu item 'Applications and renewals tracking' highlighted with a red rectangular box. Below the menu item, the text 'View the status of the following application types:' is visible, followed by a list item 'Licence renewal' preceded by a small square bullet point.
Step	Instruction	Screen example

From the **Applications and renewals tracking** screen, you can track the progress of Basic Compliance Assessment applications.

- 2 Further information can be obtained from the help links on this screen, for instance, explanations of the stages through which applications progress.

Select **Back** to return to the main menu.

[Home](#)

[Licence summary, applications and services](#)

- [Manage Level 1 and 2 users](#)
- [Request changes to licence details](#)
- [Licence summary](#)
- [PAYE References](#)
- [Overseas Linked Entities](#)
- [Scale-up Details](#)
- [Request CoS/CAS allocation increase](#)
- [Request renewal of annual CoS/CAS allocations](#)
- [Action plan details](#)
- [Apply for Basic Compliance Assessment](#)
- [Applications and renewals tracking](#)
- [SMS message board](#)

[Workers](#)

[Change password](#)

[Contact](#)

[Log out](#)

Applications and renewals tracking

[Help \(opens in a new window\)](#) Applications and renewals tracking

From this screen, you can view the statuses of the following application types:

- Licence renewal applications
- Basic Compliance Assessment applications

Sponsor licence renewal applications

[Help \(opens in a new window\)](#) Sponsor licence renewal applications

Date submitted	Status	Validation outcome	Validation date	Review status	Review date	SMS user name

Basic Compliance Assessment

[Help \(opens in a new window\)](#) Basic Compliance Assessment

Application type	Date submitted	Status	Validation outcome	Validation date	Application outcome	Out date

[Back](#)