

Employment Relations PAF Template rev.3 (March 2015)

Performance Criteria	Refs	Basic Compliance	Value Added Compliance	World Class Compliance
Risk management Inputs	23.1 23.3 15.4.6	<p>Contractor can demonstrate that it has adequately identified significant generic or contract-specific ER risk factors and put in place effective policies and processes to minimise or eliminate these - for example, by:</p> <ul style="list-style-type: none"> Considering the full range of internal, supply chain and external factors that might impact significantly on contract-level ER; Taking into account any possible changes in risk profile during different phases of work on site; Systematically recording applicable risks and mitigation plans (including linking references to specific policies/ processes); Reviewing overall content and status of ER risks at least every 6 months; Using the ARM risk database where appropriate. 	<p>As for Basic Compliance, PLUS:</p> <p>Contractor can demonstrate that its risk management process includes effective identification and mitigation of MEP-related ER risks - for example, by:</p> <ul style="list-style-type: none"> Incorporating analysis of both (a) MEP-specific risks and (b) generic ER risks in an MEP context; Taking account of MEP institutional, cultural and trade union contexts; Considering interfaces between stations and system-wide MEP; Considering ER peculiarities of particular specialisms (e.g. lifts and escalators, rail systems, testing and commissioning); Carrying out interim reviews of ER risks (whether MEP-related or otherwise) at least every 2 months; Involving its MEP subsidiary/ supply chain in the above. 	<p>As for Value Added Compliance, PLUS:</p> <p>Contractor can demonstrate a broader, more embedded approach to ER risk management - for example, by:</p> <ul style="list-style-type: none"> Considering other relevant project-wide, external, reputational and/or "psychological contract" related risks; Involving a wide range of internal and/or external stakeholders in risk identification and mitigation; Transferring relevant initiatives developed on the Crossrail project elsewhere. <p>Contractor also shares information about the above with other CRL contractors.</p>
Outputs		<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Current contract ER risk register (or equivalent); Actions/ outcomes from 6-monthly risk review; ARM entry/ies (where applicable). 	<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Current contract ER risk register (or equivalent); Risk commentary in bi-monthly ER risk report; Actions/ outcomes from risk discussions with MEP subsidiary/ supply chain. 	<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Current contract ER risk register (or equivalent); Risk commentary in bi-monthly ER risk report; Actions/ outcomes from risk discussions with internal/ external stakeholders; Transferred initiatives.
Minimum employment standards Inputs	23.1 23.3 15.4.2.1 15.4.6 16.7.1 CoP 6	<p>Contractor can demonstrate that it has established clear minimum employment standards in line with legal and Works Information requirements, and is assuring compliance with these standards effectively - for example, by:</p> <ul style="list-style-type: none"> Clearly defining its policies with regard to employment status, NWRA terms and conditions and individual/ collective dispute resolution, both internally and within the supply chain; Effectively communicating these policies to the supply chain; Establishing a robust and regular auditing regime (including effective direct/ indirect assurance of lower tier subcontractors' compliance); Conducting audits in accordance with good practice; Producing comprehensive and timely audit reports, outlining key findings and instructions/ recommendations for action, as applicable. 	<p>As for Basic Compliance, PLUS:</p> <p>Contractor can demonstrate through its policies and assurance processes a genuine commitment to maximising PAYE directly-employed status and compliance/ alignment with NWRA terms and conditions - for example, by:</p> <ul style="list-style-type: none"> "Self-delivering" a significant proportion of the work using its own directly-employed operative workforce and/or operatives directly employed by labour-only subcontractors, on NWRA-compliant/ aligned terms and conditions; Making the above commitment explicit in its ER policy and/or associated assurance processes; Where non-compliances are identified, implementing effective corrective actions/ improvement plans; Developing and keeping updated an assurance tracker; Working closely with its MEP subsidiary/ supply chain to eliminate, or at least minimise, any MEP-specific risks associated with employment status and terms and conditions. 	<p>As for Value Added Compliance, PLUS:</p> <p>Contractor can demonstrate significant additional measures are in place to underpin its commitment to direct employment and NWRA compliance - for example, by:</p> <ul style="list-style-type: none"> Making compliance with relevant ER policy requirements contractually binding; Proactively checking supply chain employment arrangements during procurement, prior to mobilisation and/or at induction; Providing additional advice and support to supply chain contractors, enabling them to improve employment practices and standards; Proactively identifying particular packages where alternative labour engagement arrangements might be genuinely unavoidable, and implementing effective actions to minimise any associated ER risks; Transferring relevant initiatives developed on the Crossrail project elsewhere. <p>Contractor also shares information about the above with other CRL contractors.</p>
Outputs		<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Supply chain communications; Induction checks; Current audit schedule; Audit reports; Current Social Sustainability PAF rating for LLW of "Basic Compliance" or above. 	<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Audit reports for labour onlys; Corrective actions/ improvement plans (including close out); Outcomes/ actions from employment standards discussions with MEP subsidiary/ supply chain; Audit reports for MEP supply chain; Verified direct employment, NWRA and life-and-accident compliance of 70% or above. 	<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Contractual documentation; Supply chain checks; Advice and support; Measures covering alternative labour engagement arrangements; Transferred initiatives; Verified direct employment, NWRA and life-and-accident compliance of 80% or above.
Workforce management Inputs	23.7 23.8 15.4.6 CoP 11, 12, 15	<p>Contractor can demonstrate a robust regime is in place for managing the on-site workforce (both direct and supply chain), including adequate arrangements for workforce "voice" - for example, by:</p> <ul style="list-style-type: none"> Establishing clear processes, roles and responsibilities in relation to direct and supply chain workforce engagement, trade union relations and management of grievances, discipline and demobilisation/ redundancies, in line with ER good practice; Ensuring arrangements for trade union access and any site-based union representation are in accordance with ER good practice; Developing workforce "voice" arrangements which provide an outlet for serious confidential concerns and feedback/ consultation on site welfare facilities, logistical requirements and working conditions; HR/ ER function providing advice, guidance and support to managers/ supervisors in line with above processes; Defining when and how more serious issues should be escalated; Communicating information about the above to all interested parties. 	<p>As for Basic Compliance, PLUS:</p> <p>Contractor can demonstrate additional measures strengthening the effectiveness of its workforce management processes - for example, by:</p> <ul style="list-style-type: none"> Establishing effective joint consultation on site welfare facilities, logistical requirements and working conditions with relevant workforce representatives; Identifying "lessons learned" and implementing improvements as a result of workforce feedback and/or reflections on previous handling of issues/ concerns; Ensuring, in particular, that MEP supply chain workforce management arrangements are in accordance with ER good practice, taking into account MEP institutional, cultural and trade union contexts. 	<p>As for Value Added Compliance, PLUS:</p> <p>Contractor can demonstrate that it is treating workforce management as a higher-order priority - for example, by:</p> <ul style="list-style-type: none"> Providing relevant high-quality training/ development to front-line management/ supervision; Assuring supply chain workforce management arrangements and, where necessary, providing improvement advice/ guidance/ support; Using "voice" or other workforce management initiatives to support superior performance in relation to one or more significant delivery objectives (e.g., quality, productivity, skills development, etc.); Transferring relevant initiatives developed on the Crossrail project elsewhere. <p>Contractor also shares information about the above with other CRL contractors.</p>
Outputs		<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Trade union visits; Site-based representative appointments and activities; Management of issues arising from trade union contacts, "voice" arrangements, grievances, discipline and demobilisation/ redundancies (including any HR/ ER advice, guidance and support); Communications; Gateway "Foundation" status, or above, for empowerment (1.05), disciplinary programme (1.15), communication (pillar 3) and welfare (4.09). 	<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Outcomes/ actions from workforce representative consultations (including close out); Outcomes/ actions from "lessons learned"/ improvement initiatives (including close out); Outcomes/ actions from reviews of MEP workforce management arrangements (including close out). 	<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Substantial proportion of managers/ supervisors covered by relevant training/ development initiatives. Credit will also be given for significant support for CRL's Front Line Leadership Programme; Outcomes/ actions from reviews of supply chain workforce management arrangements (including close out); Relevant "voice" initiatives; Transferred initiatives.
Co-ordination Inputs	23.1 23.3 CoP 4, 5, 7	<p>Contractor can demonstrate a minimum level of resourcing and internal, supply chain and external co-ordination to deliver its ER policy and risk mitigation objectives - for example, by:</p> <ul style="list-style-type: none"> Ensuring suitably qualified and experienced ER functional lead(s) in place and devoting adequate time to responsibilities on the contract; Defining respective responsibilities of all others in relation to ER (e.g. Project Director, Works Manager, procurement/ commercial, health and safety, etc.) and arrangements for internal liaison/ co-ordination on ER matters; Identifying first tier subcontractor ER points of contact and arrangements for supply chain liaison/ co-ordination on ER matters; Completing and returning quarterly ER reports in good time and hosting quarterly contract ER review meetings, to include Project Director, CRL Project Manager and respective ER functional leads; Maintaining consistent attendance at EIR Forum meetings (including stations/ systemwide sub-group). 	<p>As for Basic Compliance, PLUS:</p> <p>Contractor can demonstrate stronger integration of ER considerations into management of the contract - for example, by:</p> <ul style="list-style-type: none"> Establishing structured processes for internal co-ordination on ER matters (e.g. ER regularly discussed at senior leadership meetings; structured contacts between ER functional lead(s) and others with ER responsibilities; ER considerations formally incorporated into procurement and contract management processes; health and safety processes take account of ER good practice, etc.); Actively promoting improved awareness and understanding of ER matters among all those with ER responsibilities on the contract; Regular, structured contacts with MEP subsidiary/ supply chain, to include Project Director, ER functional lead(s) and their respective opposite numbers; Increasing frequency of ER risk reports and contract ER review meetings to bi-monthly; Contributing more to EIR Forum meetings (e.g. "hot topic" presentation, participation in working party, etc.). 	<p>As for Value Added Compliance, PLUS:</p> <p>Contractor can demonstrate proactive and sustained leadership on ER - for example, by:</p> <ul style="list-style-type: none"> Establishing structured processes for supply chain co-ordination on ER matters (e.g. inclusion of ER topics in supply chain meetings, supply chain ER forums, formal ER reporting, etc.); Actively promoting improved awareness and understanding of ER matters internally and/or within the supply chain; Demonstrating leadership within EIR Forum (e.g. leading a working party, supporting others, etc.); Transferring relevant initiatives developed on the Crossrail project elsewhere. <p>Contractor also shares information about the above with other CRL contractors.</p>
Outputs		<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Outcomes/ actions from internal and supply chain liaison/ co-ordination; ER supply chain data reports (part of RP reporting); ER risk reports; Contract ER reviews; EIR Forum attendance. 	<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Outcomes/ actions from structured internal co-ordination processes; Outcomes/ actions from structured contacts with MEP subsidiary/ supply chain; ER risk reports; Contract ER reviews; EIR Forum contributions. 	<p>Outputs from above processes, including (for example):</p> <ul style="list-style-type: none"> Outcomes/ actions from structured supply chain co-ordination processes; Awareness-raising initiatives; EIR Forum contributions; Transferred initiatives.