

Group Standard

Employee Wellbeing



We recognise the importance of employee wellbeing to a happy and productive working environment. We are therefore committed to promoting the health and wellbeing of employees.

Document Details

Document Details	Serco Business
Reference SMS GS-P2: Employee Wellbeing	Version 3.3
Approval Date December 2016	Date for next review December 2018
Applicability Serco Group covering all business regions, operating companies and business units throughout the world ¹ covering: <ul style="list-style-type: none"> - employees, officers, directors and individuals working as consultants and contractors and any other parties acting as representatives or agents of Serco (Employees) - wholly owned subsidiaries and majority-owned operations Where a minority interest and in regard to its subcontractors and suppliers Serco encourages alignment with this Standard	
Authority Chief Executive, Serco Group plc	
Accountable Policy Owner (Group) HR Director (Group)	
Additional Information Supporting standards, standard operating procedures and guidance relating to this Group Standard are available within the Serco Management System	
Governance Our policies and standards, together with any regional or market requirements and enhancements to them, are authorised through a robust governance process	
Consequence Management As a Group Standard the requirements detailed in this document are mandated and must be adhered to. Non-compliance will have consequences which may include disciplinary action. The Consequence Management Group Standard (Ref: SMS-GS-G1) details how instances of non-compliance will be dealt with	
¹ As used herein, Serco Group and its affiliates, subsidiaries and operating companies are referred to as 'Serco', the 'Company' or 'company', or 'we', 'us' or 'our'.	

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1 Objectives

Serco recognises the importance of employee wellbeing, engagement, retention and attraction to ensuring a positive and productive working environment.

At Serco we define 'wellbeing' as having strong relationships – both inside and outside of work, providing employees with good work that is interesting and for which they are rewarded appropriately, an environment where we promote physical and psychological good health and provide early intervention and proactive support to employees to promote their wellbeing.

We are therefore committed to promoting the health and wellbeing of employees. As part of this we will:

- not tolerate and aim to prevent victimisation, bullying or harassment
- not tolerate and aim to prevent incidents of violence and verbal abuse
- aim to prevent and eliminate, in so far as is reasonably practicable, alcohol, drugs and substance misuse by employees and aim to protect others from the consequences of such misuse and abuse
- establish performance management and disciplinary procedures to encourage improvement amongst employees whose conduct or standard of work is unsatisfactory
- establish grievance procedures to enable employees to highlight concerns for attention within the workplace
- where appropriate, put in place Occupational Health programmes to support the wellbeing of employees
- manage absence sensitively in order to assist employees back to work as soon as they are fit to do so
- sustain high levels of employee engagement¹
- ensuring work life balance for employees

We should aspire to common standards globally which are set against the legal and cultural requirements and expectations of the countries in which we do business. This Standard defines the minimum requirements for fulfilling our Policy commitments.

¹ See Employee Lifecycle Group Standard Ref: SMS-GS-P1

2 Policy Standards

2.1 Policy

- S1. Policy, Standards and Management Systems (including procedures and work instructions) will be defined, documented, implemented and maintained and will:
 - a. reflect Serco's values
 - b. be non-discriminatory
 - c. comply with local labour and employment laws and regulations
 - d. be aligned appropriately with the traditions and cultures in the countries in which Serco operates
 - e. be appropriately aligned with the standards of the Serco Management System
 - f. provide the framework for setting and reviewing people strategy and objectives
 - g. control people risks and reflect legislative and regulatory requirements
 - h. be reviewed regularly to ensure they remain relevant and appropriate to the organisation
 - i. be accessible to all employees and made available to appropriate parties
- S2. Where processes and procedures are identified, responsibility for their development, maintenance and continuous improvement will be defined globally, regionally, Divisionally and locally
- S3. At a country/Divisional/local level Standard Operating Procedures (SOPs) will be in place to meet business needs and ensure the appropriate approvals e.g. sickness absence, maternity/paternity leave and annual leave
- S4. Where appropriate, training will be provided to inform employees and provide the necessary knowledge and skills to understand and deliver our commitments
- S5. Legal responsibilities will be reflected in relevant People SOPs, systems, processes and communications

2.2 Harassment at work

- S6. Victimisation, bullying and harassment will not be tolerated at any level in the organisation. Action will be taken to address individual and organisational factors that may lead to harassment at work
- S7. Positive action will be taken to provide a working environment free from harassment by monitoring the behaviour of employees and by supporting employees who suffer harassment
- S8. An employee, including contractors, found to be victimising, bullying or harassing another employee or other individuals in the course of their work will be the subject of investigation and may face disciplinary action depending on the results of the investigation
- S9. Managers will be expected to deal effectively and in a timely manner with concerns and complaints raised by their employees, in accordance with local procedures and legislation. Such procedures will:
 - a. provide for proceedings, witness statements and records to be kept confidential
 - b. indicate the disciplinary actions that may be taken
 - c. specify the levels of management that have the authority to take various forms of disciplinary action
 - d. provide for employees to be informed of the complaints against them and where possible all relevant evidence before any hearing
 - e. where appropriate, provide employees with the right to be accompanied and the right to appeal
 - f. ensure that disciplinary action is not taken until the case has been investigated (in line with local investigation procedures) and the facts established
 - g. ensure that employees are given an explanation for any action imposed
- S10. Employees will have access to the procedures that apply to them

- S11. Records of concerns or complaints of harassment, related proceedings, management's response, and any action taken will be kept. These records will be kept confidential in accordance with relevant statutory requirements and in line with Group Standards²

2.3 Violence at work

- S12. We will work with our customers and other key stakeholders (e.g. police, trade unions) to reduce the risk of violence to employees
- S13. The exposure of employees to workplace violence and aggression will be risk assessed, according to any schedule of risk audit and where considered appropriate
- S14. Local procedures and safe systems of work will be designed to eliminate or reduce the likelihood of violence and aggression in high risk areas
- S15. Management will monitor the effectiveness of preventative measures through an effective system of reporting, investigating and recording of incidents³
- S16. Employees identified as at risk will be given appropriate information, instruction and training. As part of their induction, new employees will receive information regarding security, personal safety and the procedure for reporting incidents of violence and aggression in the workplace
- S17. Cases of violence involving verbal abuse, threats and physical assault will be reported to the appropriate manager and enforcing authorities where required, and logged on ASSURE⁴
- S18. Employees injured as a result of violent incidents will be advised of the need to seek medical attention. Employees will be offered support and time off work to seek medical care. Reasonable time off will be allowed for critical incident de-briefs
- S19. Serco will offer support to employees that have suffered mental and/or physical trauma. Where necessary the Company will also encourage police intervention

² See Information Integrity and Data Management Group Standard Ref: SMS-GS-III1

³ See Organisational HSE Responsibilities GSOP Ref: SMS-GSOP-HSE1-6

⁴ See Incident Reporting & Management GSOP Ref: SMS-GSOP-O1-2

S20. Assaults on employees will be treated extremely seriously and Serco will actively pursue criminal charges and support victims in civil proceedings wherever appropriate

2.4 Drugs, alcohol and substance abuse

S21. Serco will act to prevent and eliminate, in so far as is reasonably practicable, any alcohol, drugs and substance abuse which will:

- a. increase the potential for work-related ill health, accidents, absence, poor performance; or
- b. adversely affect Serco, its employees' or its customers', public safety or national security; or
- c. result in disorder or crime

S22. Individual employees are responsible for:

- a. not breaking local laws by taking illegal drugs of any kind
- b. attending work free from the effects of alcohol or drugs that could impair performance or would be in breach of statutory or regulatory requirements
- c. notifying a line manager if they are taking prescribed drugs that could impair their performance at work
- d. not being in possession of drugs while at work. However, Serco recognises the controlled use and possession of medication prescribed by a medical doctor for personal use as an exception

S23. If failure or refusal by any employee to accept help, advice or treatment leads to a breach of required standards of behaviour this may be regarded as a disciplinary matter

S24. Managers with responsibilities for employees are required to:

- a. establish processes and procedures to minimise the risk of accidents and incidents occurring as a result of the misuse of alcohol or drugs by employees
- b. provide where appropriate, a programme of education and awareness on alcohol, drugs and substance misuse
- c. ensure that the law in relation to drugs, alcohol and substance abuse is observed by employees during working hours. The illegal use of drugs is not condoned; however in most cases an employee with a drug misuse problem who advises their manager of their

situation will be encouraged to seek help, advice and treatment. Failure to do so would lead to disciplinary procedure

- d. implement measures, including a programme of compulsory screening, in Serco Contracts where operations involving safety critical services and/or processes are undertaken. This includes procedures to:
 - detect the use of drugs by both existing and potential employees in a way that is consistent with the rights of employees
 - detect the use of alcohol and/or drugs by any person(s) involved in an accident/incident where there are grounds to suspect that the actions of the person(s) led to the accident/incident
 - detect the use of alcohol and/or drugs where abnormalities of behaviour prompt managerial intervention (which may include a request for screening)
 - monitor and measure the effectiveness of such procedures
- e. offer confidential counselling and support services for employees with an alcohol or drug dependency problem. Employees can attend counselling/rehabilitation
- f. ensure that infringements of this Standard are dealt with under established disciplinary procedures

2.5 Disciplinary procedures

S25. Disciplinary procedures will:

- a. be written down and accessible to employees
- b. be referenced in contracts of employment
- c. provide for proceedings, witness statements and records to be kept confidential
- d. define how disciplinary action may be taken and ensure that it is done so in a timely manner
- e. provide for employees to be informed of the complaints against them and where possible all relevant evidence before any hearing
- f. ensure that, except for gross misconduct, no employee is dismissed for a first breach of discipline

- g. ensure that disciplinary action is not taken until the case has been carefully investigated
 - h. ensure that employees are given an explanation for any action/penalty imposed
 - i. provide a right to appeal – normally to a more senior manager – and specify the procedure to be followed
- S26. Employees have the right to be accompanied at hearings in line with local procedures

2.6 Grievance procedures

- S27. Employees have the right to exercise a grievance against the Company; these will be managed in accordance with local policies and procedures. Grievances should be raised with the employee's line manager or their local HR representative or via Serco's whistleblowing line⁵
- S28. Most routine complaints and grievances will be resolved informally in discussion with the employee's immediate line manager
- S29. Where a grievance cannot be resolved informally it will be dealt with under a formal grievance procedure which will:
- a. provide for proceedings, witness statements and records to be kept confidential
 - b. provide the right for employees involved in a grievance procedure to be accompanied in line with local procedures and legislative requirements
 - c. provide for the outcome of a formal grievance to be notified to the employee raising the grievance in writing
 - d. provide a right to appeal – normally to a more senior manager – and specify the procedure to be followed
- S30. In circumstances where a grievance may apply to more than one person and where a trade union is recognised, it may be appropriate for the problem to be resolved through collective agreements between the trade union(s) and local management

2.7 Occupational health

- S31. Where appropriate, Occupational Health programmes will be put in place to support the wellbeing of employees
- S32. Occupational Health programmes will be assessed against agreed standards and targets and will be reviewed and assessed on an annual basis to ensure sustained improvement
- S33. Generic and, where appropriate, specific health risk assessments will be completed to identify jobs with health risks
- S34. Where hazards have been identified, appropriate controls to manage health risks will be put in place, including Occupational Health support where appropriate
- S35. Where there are identified health risks, pre-employment health screening and where appropriate, periodic re-screening, will be conducted to evaluate the fitness of the applicants
- S36. Disabled and able-bodied employees will be treated equally in employment matters. Reasonable adjustments will be made to meet the needs of disabled employees
- S37. Where required following a risk assessment or in order to be compliant, health surveillance will be implemented
- S38. If any employee believes their health is being affected by their work they have the right to report it to their line manager
- S39. Matters surrounding an employee's health and welfare will be handled sensitively and kept confidential
- S40. Records will be maintained in relation to Occupational Health activities. Appropriate confidentiality and access control to information about the health of employees will be maintained in line with local procedures and Serco's document retention requirements⁶

⁵ See Speaking Up Group Standard Ref: SMS-GS-BC3

⁶ See Document Retention GSOP Ref: SMS-GSOP-II1-2

2.8 Absence management

- S41. We expect employees to do their job, but understand that if they are ill or unwell this may not be possible. We will deal with sickness absence sensitively and support employees who are ill. We will also take action to limit the impact that absence may have on the business activities and colleagues
- S42. Procedures will be in place that define a consistent approach to the reporting, management and recording of planned and unplanned absences, to ensure decisions are objective, legal and non-discriminatory
- S43. Absence will be actively and sensitively managed in accordance with local procedures and legislation
- S44. Absent employees will be supported and contact maintained in order to assist them to return to work as soon as they are fit to

3 Responsibilities & Accountabilities

- S45. The following responsibilities will apply to the delivery of the defined standards. If these are not completed effectively, the person responsible will be accountable for any consequences⁷.

Group

- S46. The Group CEO will appoint a Group Human Resources (HR) Lead responsible for:
 - a. developing and maintaining Group People policy and strategy
 - b. working with Divisions and other functional groups to ensure standards and associated procedures and key controls remain fit for purpose, reflect legislative and regulatory requirements and effectively manage People and associated risks
 - c. working with the Executive Committee to appoint and lead a professional HR community to support the business needs throughout all Divisions and geographies

- d. providing oversight and reporting People performance to the Executive Committee and plc Board as required
- e. undertaking Group-wide tasks that deliver the People Strategy, such as the annual review of leadership and management talent and the annual employee engagement survey
- f. Working with the Divisions, Functions and Shared Service providers to provide guidance and support on the management and structure of people data
- g. Working with the Divisions, Functions and Shared Service providers to ensure that the standards of the Serco Management System are adhered to and that any exceptions are managed appropriately.
- h. If a risk to compliance against the standards of the Serco Management System (e.g. inadequate resources) is identified at or escalated to this level, it is the responsibility of the Group HR lead to ensure it is managed appropriately.

- S47. The Group plc Board, supported by the Group HR Director, will establish the Group Remuneration Strategy
- S48. The Group CEO is responsible for assigning people objectives to Divisional CEO and Senior Directors and to ensure the people strategy is reviewed on an annual basis
- S49. Working with the plc Board, the Group HR Director will validate the People Strategy and report progress as required

Division

- S50. The Group HR Director and Divisional CEO will appoint a Divisional HR Lead responsible for:
 - a. implementing People policy, standards procedures, key controls and local legislation across the Division; which may include the development of country/region/Divisional procedures and management systems
 - b. ensuring procedures and key controls, remain fit for purpose, reflect legislative and regulatory requirements and effectively manage People and associated risks

⁷ See Consequence Management Group Standard Ref: SMS-GS-G1

- c. defining detailed operating models for the provision of a HR function in order to manage people risks, deliver People objectives and targets and provide competent HR advice
- d. developing Divisional people strategy, objectives and targets that are aligned to Group
- e. providing oversight and reporting Divisional People performance
- f. working within the Divisional HR function to ensure delivery of key programmes within the people strategy, for example employee engagement and talent management
- g. ensuring compliance with people policies, for example sickness absence, maternity/paternity leave and annual leave
- h. providing training, where appropriate, to ensure employees have the necessary knowledge and skills to understand and deliver our commitments
- i. ensuring local controls are in place for providing assurance that people and associated risks are being effectively managed and participating in the continuous improvement of processes and programmes
- j. applying appropriate processes to comply with relevant, local legal, taxation, immigration and social security requirements
- k. working with the Divisional Executive Management Team, Divisional functional leadership teams and shared services to provide guidance and support on the management and maintenance of people data
- l. working with the Divisional Chief Executive Officer, Divisional Executive Management Team, Divisional functional leadership teams and shared services to ensure that the standards of the Serco Management System are adhered to and that any exceptions are managed appropriately
- m. effectively managing, or formally raising with the appropriate point of escalation, any risk to compliance against the standards of the Serco Management System (e.g. inadequate resources)
- n. Implementing and regularly reviewing service level agreements where shared services are in place

Business Unit

S51. The Business Unit Managing Director is responsible for:

- a. complying with policy, standards, procedures, key controls and local legislation; which may include the development of Business Unit management systems

- b. working with the Divisional HR function to ensure delivery of the main programmes within the people strategy
- c. ensuring compliance with people procedures, for example sickness absence, maternity/paternity leave and annual leave
- d. providing training, where appropriate, to ensure employees have the necessary knowledge and skills to understand and deliver our commitments
- e. ensuring local controls are in place for providing assurance that people and associated risks are being effectively managed and participating in the continuous improvement of processes and programmes
- f. working with the Business Unit leadership team, Divisional functional leadership teams and shared services to maintain accurate and up to date people data
- g. working with the Business Unit leadership team, Divisional functional leadership teams and shared services to ensure that the standards of the Serco Management System are adhered to and that any exceptions are managed appropriately
- h. managing risks to compliance against the standards of the Serco Management System (e.g. inadequate resources) or formally raising the risk with the appropriate point of escalation

Contract/Function

S52. The Contract Manager (or Corporate Function Head) is responsible for:

- a. complying with policy, standards, procedures, key controls and local legislation; which may include the development of local management systems/operating procedures/work instructions
- b. working with the Divisional HR function to ensure delivery of the main programmes within the people strategy
- c. ensuring compliance with people policies, for example sickness absence, maternity/paternity leave and annual leave
- d. providing training, where appropriate, to ensure employees have the necessary knowledge and skills to understand and deliver our commitments
- e. ensuring local controls are in place for providing assurance that People and associated risks are being effectively managed and participating in the continuous improvement of processes and programmes

- f. monitoring behaviour and dealing effectively with concerns and complaints raised by employees, immediately and in confidence
- g. maintaining confidential records of concerns or complaints, together with any action taken
- h. working with the Business Unit leadership team, Contract management team, Divisional functional teams and shared services to maintain accurate and up to date people data
- i. working with the Business Unit leadership team, Contract management team, Divisional functional teams and shared services to ensure that the standards of the Serco Management System are adhered to and that any exceptions are managed appropriately
- j. appropriately manage risks to compliance against the standards of the Serco Management System (e.g. inadequate resources) or to formally raise the risk with the appropriate point of escalation

All employees

S53. All employees are responsible for:

- a. understanding and undertaking the tasks of their role in accordance with the principles, policies and procedures of Serco
- b. ensuring all mandatory training is kept up to date
- c. telling a line manager or HR representative of any concerns
- d. providing and maintaining their employee record and associated data through the required processes, tools and communication channels

4 Processes and Controls

4.1 Governance processes and controls

Process

A set of related activities that must be carried out to achieve policy outcomes

Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
P1	People responsibilities are defined and understood	➔ C1	<p>A Group HR lead is appointed by the Group CEO with responsibility for:</p> <ul style="list-style-type: none"> developing and maintaining Group People policy and strategy working with Divisions and other functional groups to ensure standards and associated procedures and key controls remain fit for purpose, reflect legislative and regulatory requirements and effectively manage people and associated risks working with the Executive Committee to appoint and lead a professional HR community to support the business needs throughout all Divisions and geographies providing oversight and reporting people performance to the Executive Committee and plc Board as required 	●	○	○	○	○

Process

A set of related activities that must be carried out to achieve policy outcomes

Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility

for ensuring controls are in place and operating effectively

Ref Description

Ref Description

- undertaking Group-wide tasks that deliver the People Strategy, such as the annual review of leadership and management talent and the annual employee engagement survey
- working with the Divisions, functions and shared service providers to provide guidance and support on the management structure of people data
- working with the Divisions, functions and shared service providers to ensure that the standards of the SMS are adhered to and that any exceptions are managed appropriately
- if a risk to compliance against the standards of the SMS (e.g. inadequate resources) is identified at or escalated to this level, it is the responsibility of the Group HR lead to ensure it is managed appropriately

Group
(S46 - S49)

Division (S50)

Business Unit
(S51)

Contract (S52)

All Employees
(S53)

Process

A set of related activities that must be carried out to achieve policy outcomes

Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
		➡ C2	The Group plc Board, supported by the Group HR Director, is responsible for establishing the Group Remuneration Strategy	●	○	○	○	○
		➡ C3	The Group CEO is responsible for assigning people objectives to Divisional CEO and Senior Directors and ensuring the people strategy is reviewed on an annual basis	●	○	○	○	○
		➡ C4	The Group HR Director, working with the plc Board, is responsible for validating the People Strategy and reporting progress as required	●	○	○	○	○
		➡ C5	A Divisional HR lead is appointed by the Divisional CEO with responsibility for: <ul style="list-style-type: none"> implementing People policy, standards procedures key controls and local legislation across the Division; which may include the development of country/region/ Divisional procedures and management systems ensuring procedures and key controls remain fit for purpose, reflect legislative and regulatory requirements and 	○	●	○	○	○

Process

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Controls

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Responsibility

for ensuring controls are in place and operating effectively

Ref Description

Ref Description

Group
(S46 - S49)

Division (S50)

Business Unit
(S51)

Contract (S52)

All Employees
(S53)

- effectively manage People and associated risks
- defining detailed operating models for the provision of a HR function in order to manage people risks, deliver people objectives and targets and provide competent HR advice
- developing Divisional people strategy, objectives and targets that are aligned to Group
- providing oversight and reporting Divisional people performance
- working within the Divisional HR function to ensure delivery of key programmes within the people strategy, for example, sickness absence, maternity/paternity leave and annual leave
- providing training, where appropriate, to ensure employees have the necessary knowledge and skills to understand and deliver our commitments
- ensuring local controls are in place for providing assurance that people and

Process

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Responsibility

for ensuring controls are in place and operating effectively

Ref Description

Ref Description

Group
(S46 - S49)

Division (S50)

Business Unit
(S51)

Contract (S52)

All Employees
(S53)

- associated risks are being effectively managed and participating in the continuous improvement of processes and programmes
- applying appropriate processes to comply with relevant, local legal, taxation, immigration and social security requirements
 - Working with the Divisional EMT, Divisional functional leadership teams and shared services to provide guidance and support on the management and maintenance of people data
 - Working with the Divisional CEO, Divisional EMT, Divisional functional leadership teams and shared services to ensure that the standards of the SMS are adhered to and that any exceptions are managed appropriately
 - Effectively managing or formally raising with the appropriate point of escalation, any risk to compliance against the standards of the SMS (e.g. inadequate resources)

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Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S46	Divis	Busin (S51	Contr	All Em (S53
			<ul style="list-style-type: none">Implementing and regularly reviewing service level agreements where shared services are in place					
↻ C6			<div>The Business Unit MD is responsible for:<ul style="list-style-type: none">complying with policy, standards, procedures, key controls and local legislation; which may include the development of Business Unit management systemsworking with the Divisional HR function to ensure delivery of the main programmes within the people strategyensuring compliance with people procedures, for example, sickness absence, maternity/paternity leave and annual leaveproviding training, where appropriate, to ensure employees have the necessary knowledge and skills to understand and deliver our commitmentsensuring local controls are in place for providing assurance that people and associated risks are being effectively</div>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

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The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
			<p>managed and participating in the continuous improvement of processes and programmes</p> <ul style="list-style-type: none"> working with the Business Unit leadership team, Divisional functional leadership teams and shared services to maintain accurate and up to date people data working with the Business Unit leadership team, Divisional functional leadership teams and shared services to ensure that the standards of the SMS are adhered to and that any exceptions are managed appropriately managing risks to compliance against the standards of the SMS (e.g. inadequate resources) or formally raising the risk with the appropriate point of escalation 					
		➔ C7	<p>The Contract Manager (or Corporate Function Head) is responsible for:</p> <ul style="list-style-type: none"> complying with policy, standards, procedures, key controls and local legislation; which may include the 				●	○

Process

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for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
			<p>development of local management systems/operating procedures/work instructions</p> <ul style="list-style-type: none"> working with the Divisional HR function to ensure delivery of the main programme within the people strategy ensuring compliance with people policies, for example, sickness absence, maternity/paternity leave and annual leave providing training, where appropriate, to ensure employees have the necessary knowledge and skills to understand and deliver our commitments ensuring local controls are in place for providing assurance that people and associated risks are being effectively managed and participating in the continuous improvement of processes and programmes monitoring behaviour and dealing effectively, immediately and in confidence with concerns and complaints raised by employees 					

Process


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Ref	Description	Ref	Description	Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
			<ul style="list-style-type: none"> maintaining confidential records of concerns or complaints, together with any action taken working with the Business Unit leadership team, Contract management team, Divisional functional teams and shared services to ensure that the standards of the SMS are adhered to and that any exceptions are managed appropriately appropriately manage risks to compliance against the standards of the SMS (e.g. inadequate resources) or to formally raise the risk with the appropriate point of escalation 					
		 C8	All employees are responsible for: <ul style="list-style-type: none"> understanding and undertaking the tasks of their role in accordance with the principles, policies and procedures of Serco ensuring all mandatory training is kept up to date telling a line manager or HR representative of any concerns 	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

Process

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Ref	Description	Ref	Description	Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
			<ul style="list-style-type: none"> providing and maintaining their employee record and associated data through the required processes, tools and communication channels 					
P2	Establish People policy	➔ C9	Policy, standards and Group procedures are defined and published	●	○	○	○	○
		➔ C10	Policy, Standards and Group procedures are communicated and implemented	●	●	●	●	○
P3	Establish HR systems and processes	➔ C11	Country/Regional/Divisional procedures for Harassment and Bullying are documented, published and communicated	○	●	○	○	○
		➔ C12	Country/Regional/Divisional procedures for Drugs, Alcohol and Substance Misuse are documented, published and communicated	○	●	○	○	○
		➔ C13	Country/Regional/Divisional procedures for Grievances are documented, published and communicated	○	●	○	○	○
		➔ C14	Country/Regional/Divisional procedures for planned and unplanned absence management are documented, published and communicated	○	●	○	○	○

Process

A set of related activities that must be carried out to achieve policy outcomes

Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
P4	Manage compliance	➡ C15	HR systems with supporting procedures and work instructions are periodically reviewed in light of any HR compliance assessment and audit results, accidents and incident analysis, legal changes, changing circumstances and the commitment to continual improvement.	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➡ C16	Legal and regulatory HR requirements are monitored with changes reflected in systems, procedures and work instructions	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➡ C17	A compliance plan is implemented	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➡ C18	Compliance and audit reports are in place with action plans to address non-compliance	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➡ C19	Agreed actions are closed out	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

4.2 Key processes and controls

Process

A set of related activities that must be carried out to achieve policy outcomes

Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility

for ensuring controls are in place and operating effectively

Ref	Description		Ref	Description	Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
P5	Effectively manage concerns and complaints of harassment raised by employees	➡	C20	Concerns or complaints, related proceedings, management's responses and any action taken are recorded	●	●	●	●	○
		➡	C21	Action taken to deal with complaints is completed in a timely manner and in accordance with local procedures and legislation	●	●	●	●	○
P6	Prevent and manage incidents of violence and verbal abuse at work	➡	C22	Local procedures and safe systems of work are in place to reduce likelihood of violence and verbal abuse in high risk areas	●	●	●	●	○
		➡	C23	Information on security, personal safety and procedures for reporting incidents of violence are included in the induction of employees with records maintained	●	●	●	●	○

Process

A set of related activities that must be carried out to achieve policy outcomes

Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
		➡ C24	The Code of Conduct and expected behaviours is communicated to employees through induction, with records maintained	●	●	●	●	○
		➡ C25	Cases of violence are managed and recorded on ASSURE	●	●	●	●	○
P7	Prevent and eliminate drugs, alcohol and substance abuse	➡ C26	Testing for drugs, alcohol and substance use is implemented where safety critical services and/or processes are undertaken	○	●	●	●	○
P8	Manage grievances effectively	➡ C27	Grievances are investigated, escalated and resolved appropriately, with the process being documented and supporting evidence retained	●	●	●	●	○
P9	Promote the health and wellbeing of employees	➡ C28	Processes are in place to promote the health and wellbeing of employees with support mechanisms to keep employees in the workplace or ensure prompt return after periods away for health reasons	●	●	●	●	○

Process

A set of related activities that must be carried out to achieve policy outcomes

Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Responsibility				
				Group (S46 - S49)	Division (S50)	Business Unit (S51)	Contract (S52)	All Employees (S53)
		↻ C29	Heath risk assessments are undertaken in compliance with industry and regulatory requirements	●	●	●	●	○
		↻ C30	Occupational Health programmes are implemented where health risks have been identified in line with regulatory requirements, job role or individual needs	●	●	●	●	○
P10	Manage absences effectively and sensitively	↻ C31	Absence management is monitored and analysed, with support provided where required	●	●	●	●	○

5 Supporting documentation and guidance

The following should be read in conjunction with this standard:

Ref	Document
SMS-GS-BC3	Speaking Up Standard
SMS GSOP-II1-2	Document Retention GSOP
SMS GSOP-1-27	Occupational Health & Safety Risk Assessment GSOP
SMS GSOP-HSE1-6	Organisational HSE Responsibilities GSOP
SMS GSOP-O1-2	Incident Reporting & Management GSOP
	Code of Conduct

6 Definitions

Term	Definition
Accountability	Being accountable means being not only responsible for something but also answerable for your actions.
Responsibility	<p>A responsible person is the individual who completes the task required. Responsibility can be shared and delegated.</p> <p>All responsible persons will also be accountable for completing tasks effectively. Non-compliance will have consequences which may include disciplinary action as defined within the Consequence Management Group Standard.</p>
Group	Serco Group plc is the administrative centre of the organisation, responsible for setting corporate strategy, defining governance requirements and supporting the business in its day to day operations
Division	The Group will define a set of business Divisions which will be responsible for business delivery within a defined set of markets or geographies.
Business Unit	<p>A Business Unit is a cluster of contracts which provide a similar service e.g. Health, Defence, Transport etc.</p> <p>Where appropriate, a separate legal entity wholly owned or where Serco has a controlling share may also be referred to as a Business Unit, where appropriate.</p> <p>This may also refer to Counties/Territories</p>

Contract	<p>A Contract provides specified requirements to a customer (either directly with Serco or to a consortium/Joint Venture in which Serco is a party)</p> <p>A Contract will also refer to a corporate/functional area.</p> <p>Corporate/functional areas are functions which support the business and they include finance, HR, procurement etc.</p>
Organisation	Organisation refers to a site, Contract, Business Unit and Division.
Contract Manager	This refers to a manager with responsibility for managing the performance of a contract and can include a Contract Manager on a day-to-day basis (or Operational Manager with devolved responsibility), a Contract Director, Partnership Director and/or a Business Unit Managing Director
Contractors	Anyone who works for the Company on a short or long term contract; such as, but not limited to, consultants, agency employees, short-term contractors etc.
Disciplinary issues	Arise when problems of conduct or capability are identified and management seeks to address them through well-recognised procedures.
Grievances	Are raised by individuals bringing to management's attention concerns or complaints about their working environment, terms and conditions and workplace relationships and management seeks to address them through well-recognised procedures.
Victimisation	Occurs specifically when a person is treated less favourably because they have asserted their rights as committed to in this Standard, either in making a complaint or in assisting in an investigation.

Harassment	Unreciprocated or unwanted conduct that is offensive to the recipient and which violates the dignity, beliefs and orientation of men and women at work or creates an intimidating, hostile, degrading, humiliating or offensive environment.
Violence	<p>Incidents where persons are abused, threatened or assaulted in circumstances relating to their work, involving an explicit or implicit challenge to their safety, wellbeing or health. Violence at work may include assaults or verbal abuse by members of the public or other employees. Examples of violence include:</p> <ul style="list-style-type: none"> • verbal abuse, offensive language • racist, sexist or religious remarks • obscene gestures • threatening behaviour • stalking • physical attacks including spitting and throwing objects

7 Further information and support

If you require any further information or support regarding this Group Standard, or if you have any suggestions for improvement, please contact the Accountable Policy Owner (Group) or email sms@serco.com