

# Section C

New Rolling Stock for London Overground Project

## Part 3.3.1 Responsible Procurement Plan (MSA)

### A2 Bombardier NRSLO Skills Pledge

London Overground New Passenger Rolling Stock Project  
Train Services Agreement  
Draft (11: 22 August 2014)

Appendix J  
London Overground Skills Pledge

London Overground



### London Overground Skills Pledge

On behalf of .....Bombardier Transportation UK Ltd.....

I .....  
Am making a commitment that we shall:

- Actively encourage and support our employees to gain the skills and qualifications that will meet the needs of London Overground and our business and will support their future employability
- Further support our employees to acquire basic literacy and numeracy skills and work towards their first full Level 2 qualification
- Demonstrably raise our employees' skill and competencies to improve our organisational performance through investing in economically valuable training and development

Signed ..... Date 3/11/14

Name .....

Position .....

Company Bombardier Transportation UK Ltd .....

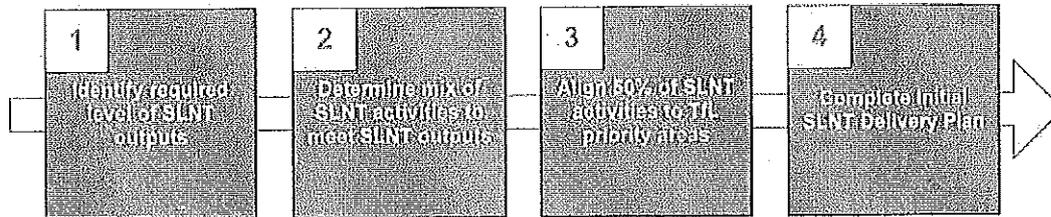
**Appendix 4**  
**SLNT Explanation and Response Requirements**

**1. Principles of Strategic Labour Needs and Training (SLNT)**

**1.1 Process Diagram**

1.1.1 To prepare the SLNT Delivery Plan, bidders should follow the process below, as outlined in Diagram 1 below:

**Diagram 1**



**1.2 Determining Number of Required SLNT Outputs**

1.2.1 Bidders shall determine the number of required SLNT outputs based on the monetary value of the contract according to a ratio of £1 million of contract value:1 SLNT Output.

1.2.2 Applying this ratio to the contract value a bidder can identify the minimum level of SLNT outputs required to be delivered (subject to any permitted tolerance in accordance with paragraph 3.2(b)(ii)). For example if a bidder's estimated price for the contract was £30 million over its term, TfL will require a minimum of 30 SLNT outputs to be delivered over the term of the contract. These SLNT outputs can come from a range of SLNT activities (see paragraph 1.3 of this Appendix 4).

**1.3 Priority Areas**

1.3.1 To ensure bidders SLNT outputs are aligned to the priorities in TfL's Skills and Employment Strategy, a **minimum of 50% of SLNT outputs must be from the Priority SLNT Activity Areas** (see Table 1 below).

**1.4 SLNT Activities**

1.4.1 Bidders are able to select from a variety of SLNT activities to contribute towards their required SLNT outputs. SLNT activities, definitions and their output value, are detailed below in Table 1 and Table 2:

**Table 1**

SLNT OUTPUT	DEFINITION	SLNT VALUE	PRIORITY
<b>Apprenticeships</b>			
<b>Apprentice Job Start</b>	A new entrant who is recruited as an apprentice and enrolled on an	<b>1 SLNT Output</b> 1 output for each year of the apprenticeship	✓

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	approved Apprenticeship Framework. The apprentice must live within London. The apprentice can be any age from 16+.	(e.g. a 3 year apprenticeship = 3 SLNT outputs)	
<b>Workless Apprentice Job Start</b>	A new entrant who is recruited as an apprentice and enrolled on an approved Apprenticeship Framework, and who was previously workless before starting the apprenticeship. The apprentice must live within London. The apprentice can be any age from 16+.	<b>1 SLNT Output</b> 1 output for each year of the apprenticeship (e.g. a 3 year apprenticeship = 3 SLNT outputs)	✓
<b>Apprentice Start (existing staff)</b>	An existing staff member who is enrolled onto an approved Apprenticeship Framework in order to up skill the workforce. The apprentice must live within London. The apprentice can be any age from 16+.	<b>1 SLNT Output</b> 1 output for each year of the apprenticeship (e.g. a 3 year apprenticeship = 3 SLNT outputs)	✓
<b>Worklessness</b>			
<b>Workless Job Start</b>	A new job start where the candidate was workless (economically inactive) prior to starting work. The candidate must live within London.	<b>1 SLNT Output</b>	✓
<b>Workless Graduate Job Start</b>	A graduate job start where the candidate was workless (economically inactive) prior to starting work. The candidate must live within London.	<b>1 SLNT Output</b>	✓
<b>Educational/Career Support</b>			
<b>Placement Position</b>	A position intended to enable an individual to learn, develop or enhance their knowledge and skills in an industry or job role by providing a short work experience placement. A placement is expected to last a minimum of 1 week. A placement position	<b>20 Days = 1 SLNT Output</b> (e.g. 4 individuals each complete a 1 week placement: 4 x 5 days = 20 days = 1 output)	

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	could be paid or unpaid and the individual must live within the London.		
<b>School Engagement</b>	Education activities that support schools and school students, by raising awareness of the educational and employment opportunities in the industry. This could include attending career fairs, school visits, ambassador programmes etc. Schools supported should be within London.	<b>20 Days = 1 SLNT Output</b> (e.g. 2 staff members attend 10 careers fairs: 2 x 10 days = 20 days = 1 output)	
<b>Job Creation</b>			
<b>Job Start</b>	A new job start for an individual who lives within London, recruited as a result of the contract. This could include a graduate job start (non workless).	1 SLNT Output	

## 1.5 SLNT Definitions and Explanations

1.5.1 When completing their response, bidders should be aware of the following definitions and explanations as set out in Table 2 below:

Table 2

<b>Apprenticeship Outputs 'Carry Over'</b>	Where an apprenticeship lasts for longer than 1 year, a supplier can claim 1 SLNT output for each year the apprentice is enrolled onto, and completing, the apprenticeship framework. (E.g. 1 apprentice completing a 2 year apprenticeship would equate to 2 SLNT outputs over a 2 year period).
<b>London</b>	Defined as being within the boundaries of the Greater London Authority (GLA) and the 33 London Boroughs. Suppliers are encouraged to recruit candidates who live within the vicinity of the project or works site.
<b>Priority Activity Areas</b>	SLNT Priority Activity Areas include Apprentice Starts, Workless Apprentice Starts, Apprentice Starts (existing staff), Workless Job Starts and Workless Graduate Starts (see Table 1).
<b>Initial SLNT Delivery Plan</b>	The bidder's response to SLNT, to detail how they will meet the required SLNT outputs (see paragraph 3.1 of this Appendix 4).
<b>Worklessness</b>	An individual is considered workless if they are 'economically inactive' and therefore not in paid employment or full time education. There is no minimum length of time the individual has to have been economically inactive to be considered workless. An individual who has moved into work from school, college or university is not considered workless.

## **1.6 SLNT Exclusions**

- 1.6.1 Recognising that many products cannot be fully undertaken within a London or UK context, TfL is prepared to discount those elements from the overall value used to estimate the SLNT outputs.
- 1.6.2 Any exclusions will be balanced by the need to maximise SLNT outputs within a local London context and will only be agreed by TfL where it makes no sense to apply the SLNT requirements.
- 1.6.3 An example of this might be products that are manufactured outside of the UK. In such a case the value of the manufactured products would not be counted in determining the SLNT outputs, as compared to the installation and maintenance of those products which would be included.

## **1.7 Accrual Method**

- 1.7.1 If the SLNT requirements are to be applied to a Framework contract, there is no initial value of work to be awarded. TfL will operate an accrual based system to transfer debits or credits associated with SLNT delivery over following years. For example, a supplier undertaking SLNT activities in Year 1 can credit these activities into following years.

## **1.8 Supply Chain/ Sub-Contractors**

- 1.8.1 Where a supplier will be using sub-contractors to deliver elements of the contract, suppliers will be required to apply the SLNT conditions/ requirements to these sub-contractors.
- 1.8.2 The supplier will be responsible for ensuring monitoring and delivery of the SLNT requirements relating to their supply chain/ sub contractors.

## **2. Supplier Skills Team**

### **2.1 TfL Supplier Skills Manager**

- 2.1.1 Working in partnership with the Greater London Authority (GLA), TfL has appointed a team of Supplier Skills Managers (SSM) to act as a central co-ordination point for TfL suppliers. This is to ensure that suppliers are able to access funding, work programmes, educational institutions etc in a controlled and co-ordinated manner.
- 2.1.2 After the commencement of the contract the SSM and the supplier must work together to understand their SLNT commitments as specified in the Initial SLNT Delivery Plan. During implementation the supplier and SSM agree a final SLNT Delivery Plan to ensure SLNT Outputs are deliverable and take advantage of public sector funding and support.
- 2.1.3 Working to support the supplier, the SSM will help to co-ordinate the various agencies and organisations (including Sector Skills councils, Department for Work & Pensions, National Apprenticeship Service, Skills Funding Agency etc) that offer skills or employment funding, into one integrated programme for the supplier.
- 2.1.4 The SSM is available to support the supplier throughout the duration of the contract.

## **2.2 Supplier's SLNT Coordinator**

- 2.2.1 It is a requirement of the contract for the supplier to appoint a SLNT Coordinator to manage the implementation of the SLNT Delivery Plan.
- 2.2.2 TfL expects the duties of the SLNT co-ordinator will include:
- (a) ensuring that the SLNT requirements are met;
  - (b) acting as primary point of contact for TfL's Supplier Skills Manager;
  - (c) managing subcontractor compliance; and
  - (d) collection and presentation of the monitoring information including the monthly SLNT report.
- 2.2.3 The role of the SLNT Co-ordinator is not required to be an exclusive appointment and may be combined with other duties.

## **3. Initial SLNT Delivery Plan**

- 3.1.1 The Initial Strategic Labour Needs and Training Delivery Plan should be completed to demonstrate how the bidder will deliver the required SLNT outputs. The plan is comprised of two components:
- (a) Strategic Labour Needs and Training Activity Breakdown; and
  - (b) Strategic Labour Needs and Training Method Statement.

### **3.2 SLNT Activity Breakdown**

- 3.2.1 The SLNT Activity Breakdown should show the bidder's proposed SLNT activity to achieve the required SLNT outputs across the term of the Contract. The SLNT Activity Breakdown shall:
- (a) be prepared using the SLNT Activity Breakdown table provided as Attachment 1.
  - (b) Be constructed:
    - (i) in relation to the bidder's labour and/ or training plan; and
    - (ii) in relation to each year of the Duration of the TSA.

### **3.3 SLNT Method Statement**

- 3.3.1 The SLNT Method Statement should provide details of the SLNT activities the bidder proposes to implement, as stated in the SLNT Activity Breakdown.
- 3.3.2 All elements of the questions should be addressed in the response.
- 3.3.3 A template SLNT Method Statement is provided as Attachment 2.

4. SLNT: An Example

4.1.1 TfL has provided the following example to clarify the provisions of paragraphs 1.1 – 3.2 above of this Appendix 4.

4.1.2 A supplier is bidding for a services contract with a value of £20 million over 4 years, and therefore has a requirement to delivery 20 SLNT outputs over the duration of the contract.

4.1.3 50% of the outputs must be from one of the Priority Activity Areas; this means that 10 of the SLNT outputs must be either an apprentice start, workless job start, workless graduate job start or apprentice start (existing staff). To meet these outputs the supplier has decided to:

- (a) recruit three new apprentices onto a two year apprenticeship framework; recruiting 2 apprentice in Year 1, and the next apprentice in Year 3 (3 apprentices x 2 years = 6 SLNT priority outputs);
- (b) recruit 4 new staff from a workless background (4 SLNT priority outputs);
- (c) deliver 5 educational engagement activities with local schools per year (5 days x 4 years = 20 days = 1 SLNT output);
- (d) offer 4 x 2 week placements to local unemployed young people across Year 2 and Year 3 (4 x 10 days = 40 days = 2 SLNT outputs); and
- (e) recruit an extra 7 staff onto the contract (4 SLNT outputs).

4.1.4 The supplier's proposed SLNT Activity Breakdown is therefore set out in Table 3.

Attachment 1 - Table 3

SLNT Activity Breakdown - An Example

SLNT Activity Area	Priority Output	Year 1	Year 2	Year 3	Year 4	Totals	Cross Check		
							SLNT Value	SLNT Totals	
<b>Apprenticeships</b>									
- Apprentices Job Start (FTE)		2	2	1	1	6	1	6	
- Workless Apprentice Job Start (FTE)						0	1	0	
- Apprentice Start (Existing Staff)						0	1	0	
<b>Worklessness</b>									
- Workless Job Starts (FTE)		2	2			4	1	4	
- Workless Graduate Job Start (FTE)						0	1	0	
<b>Educational/Career Support</b>									
- Placement Positions (Days)			20	20		40	20	2	
- School Engagement (Days)		5	5	5	5	20	20	1	
<b>Job Creation</b>									
- Job Start (non-workless) (FTE)		3	2	2		7	1	7	
							Total SLNT Activity	20	
							Priority Activities	10	

Graduate job starts are not considered to be Priority Output Activity.

**Attachment 2 – Strategic Labour Needs and Training Method Statement**

***Title: Delivery Against TFL Priorities***

Referring to the SLNT Activity Breakdown outlined in Table 1 (at paragraph 1.4.1 of this Appendix 4), please describe the activities you will undertake in each of the SLNT areas. This should include further detail for each of the areas detailed below:

- the qualifications and training programmes you have identified;
- named staff resource you will be deploying to support the activity;
- external funding streams you have identified to support the activity;
- assumptions made in preparing proposed activities; and
- any input you require from TFL to undertake these activities.

Any areas where you are not proposing to undertake activity should be left blank.

You may use up to 2 A4 sides of words in each of the following boxes.

**Apprentice Job Start**

*Content:*

**Workless Apprentice Job Start**

*Content:*

**Apprentice Start (Existing Staff)**

*Content:*

**Workless Job Start**

*Content:*

**Workless Graduate Job Start**

*Content:*

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<b>Placement Positions</b> <i>Content:</i>
<b>School Engagement</b> <i>Content:</i>
<b>Job Start (non-workless)</b> <i>Content:</i>

*Title: Supply Chain Compliance*

*Content: (Max 2 A4 sides of words)*

If you are using sub-contractors in your work programme, please outline how you will ensure your SLNT requirements will be met through your sub-contractors. This should include:

- how you will include SLNT considerations in your selection, contracting and management of sub-contractors;
- how you intend to ensure your sub-contractors are aware of appropriate TfL/government support and funding streams for any SLNT activity they will be undertaking towards your stated SLNT outputs; and
- how will you facilitate engagement between TfL's Supplier Skills Manager and your supply chain.

***Title: SLNT Monitoring & Co-ordination***

***Content: (Max 2 A4 sides of words)***

- Describe who will be responsible for implementing, managing and reporting SLNT activity within your company.
- What are the administrative and management arrangements that will be operated in relation to your SLNT activity?
- How will the proposed role/ structure interact with TfL?

*Title: SLNT Implementation Arrangements*

*Content: (Max 2 A4 sides of words)*

What arrangements you will put in place to put the plan into action during contract implementation including:

- the transfer of knowledge from bid team to the project team;
- engagement with TfL to develop the agreed SLNT Delivery Plan; and
- appointment of the SLNT Co-ordinator and establishment of the required administration, management and reporting structure.

**Appendix 5**  
**Procurement Schedule Requirements**

The Maintainer shall provide and maintain a detailed procurement schedule (*Procurement Schedule*) in Excel format substantially in the form below identifying:

1. all packages, proposed and actualised purchase orders, subcontracts, supplies and service orders including training;
2. work scope / packages proposed to be performed direct by the Maintainer;
3. planned, forecast and actualised milestone dates for each of the procurement activities;
4. budget allocations of the prices against each of the planned packages; and
5. all other relevant information as required by the procurement schedule template.

For packages where significant subcontracting by proposed subcontractors is anticipated, the Maintainer shall unless otherwise agreed by the Purchaser, ensure that subcontractors similarly complete, submit and keep updated a Procurement Schedule in respect of their part of the Services, which shall reflect the same level of information in respect of proposed subcontractor procurement as that required under the Agreement.



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**Appendix 6**  
**SLNT Plan**

## Section C

*New Rolling Stock for London  
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### Part C 3.3.1 Responsible Procurement Plan (TSA)

#### A Introduction

Bombardier is fully committed to delivering an effective and robust approach to responsible procurement and embedding our responsible procurement plan within the delivery of our work for the New Rolling Stock for London Overground (NRSLO) project.

This document is our draft responsible procurement plan for the NRSLO contract, Schedule 12 of the TSA.

Our headline responsible procurement commitments and the outcomes we will support are summarised below:

- Allocation of responsible procurement representative responsibilities to the most senior role on the project leadership team, [REDACTED], the Operations and Maintenance Director.
- A responsible procurement team including SLNT Co-ordinator, with a clear and transparent governance structure – including establishment of the Responsible Procurement Steering Group and alignment with the Crossrail Responsible Procurement team.
- A commitment to ensure that responsible procurement obligations are cascaded down to all tiers of the supply chain.
- Minimum SME targets of 25% for the Services element of the project.
- Full compliance with the SLNT requirements of Schedule 12 of the TSA.
- A commitment to use all reasonable endeavours, including audits and spot checks, to ensure that London subcontractors and suppliers of all tiers pay their employees not less than the London Living Wage.
- A commitment to work closely with RfL to identify and respond to further emerging responsible procurement opportunities throughout the duration of the contract.
- Compliance with the requirement to attain Bronze Membership of the Fleet Operator Recognition Scheme (FORS) within 90 days of the commencement date and ensure compliance of subcontractors of any tier.

Our draft responsible procurement plan has been written with a focus on deliverability. Bombardier understands that the key to successfully identifying and implementing long-term responsible procurement objectives is embedding responsible procurement within our day-to-day activity.

In developing this plan we continue to review our existing activity and processes and have taken a pragmatic approach, including the lessons learnt from working closely with TfL on the responsible procurement elements of Crossrail, to enable us to deliver credible responsible procurement objectives across our operations and throughout our supply chain.

Bombardier Transportation UK (Bombardier) aspires to be an industry leader for corporate responsibility and responsible procurement. The Bombardier policies and procedures relating to these important aspects of our operations are embedded within our organisation.

Our Corporate Responsibility Policy sets a focus on six key areas of activity, which are aligned to the requirements of the Greater London Authority and RfL Responsible Procurement Policy:

- Engaging our suppliers
- Governing effectively
- Valuing our employees
- Building responsible products
- Operating sustainably

## Section C

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### Part C 3.3.1 Responsible Procurement Plan (TSA)

- Acting as a responsible citizen

Over the last six years we have undertaken significant activity to develop and refine our corporate social responsibility activity, building on our experience on the London Overground and Crossrail projects and our work with Rail for London, LUL and TfL, where we have delivered activity to support workforce and supplier diversity both for the Train Works, Depot Works and Services elements of projects.

Features	Benefits
The Responsible Procurement Representative will be the NRSLO Project Director, supported by a nominated SLNT Co-ordinator	Responsible Procurement accountability sits at the very top of Bombardier's project delivery organisation, ensuring full visibility of responsible procurement deliverables and cognisance with respect to project decision-making.
Bombardier has extensive experience of successfully delivering SLNT commitments to London through recent projects with RfL (Class 378s) and Crossrail	Bombardier understands the importance and complexity of delivering credible Responsible Procurement benefits and will use this experience to optimise the delivery of our NRSLO commitments.
Bombardier proactively engaged with CompeteFor through the Crossrail contract and will bring this experience and ongoing learning to the NRSLO project	Bombardier's experience and knowledge of working with RfL's Responsible Procurement stakeholders will allow us to prepare during the bid phase and deliver the Train Works plan effectively from day one.
Bombardier has an established UK supply chain that will play a major part in delivering and exceeding our SLNT and SME targets.	Bombardier's unique understanding and relationship with our extensive UK supply base will allow us to ensure Responsible Procurement responsibilities are flowed down through the supply chain.

## B Bombardier and Responsible Procurement

Responsible procurement for Bombardier is about ensuring that when we procure services and goods and deliver contracts that we are taking account of and promoting best practice with regard to supplier diversity, ethical sourcing, community benefits and fair employment practices.

We recognise that there are considerable social and economic benefits for undertaking a process of responsible procurement as well as benefits for Bombardier's UK operations such as:

- Attracting and recruiting employees from a broader talent base
- Identifying new potential suppliers and investors to drive competition and reduce costs
- Improvements in working conditions – labour standards, health and safety, a culture of integrity and respect which support and increase employee motivation and productivity
- Increasing innovation and creativity
- Working closely with the local community to maximise local talent and positively promote the Bombardier brand

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### Part C 3.3.1 Responsible Procurement Plan (TSA)

Our approach to responsible procurement is supported by the partnership we have with our key suppliers who all sign up to our 'Supplier Code of Conduct' (attached as an appendix to this document), ensuring they work with us to deliver responsible procurement activity.

## C Document Structure

This bid response outlines our responsible procurement response to Schedule 12 of the TSA and is structured as follows:

Title	File Name
<b>D. Monitoring and Co-ordination</b>	<ul style="list-style-type: none"> <li>• Responsible procurement representative and SLNT co-ordinator</li> <li>• Responsible procurement steering group and project team</li> <li>• Draft responsible procurement plan and method statement</li> <li>• Implementation and reporting arrangements</li> <li>• Communicating, encouraging and ensuring subcontractor compliance</li> <li>• Supply chain compliance and Implementation arrangements</li> </ul>
<b>E. Diversity</b>	<ul style="list-style-type: none"> <li>• Draft equality and diversity strategic plan and Draft diversity training plan</li> <li>• Draft supplier diversity plan (incorporating Small Medium Enterprises (SME)/diverse supplier engagement, meet the buyer and using CompeteFor)</li> <li>• SME targets</li> </ul>
<b>F. Strategic Labour Needs and Training (SLNT) and delivery against TfL priorities</b>	<ul style="list-style-type: none"> <li>• Draft labour and skills gap plan</li> <li>• Draft Strategic Labour Needs and Training (SLNT) plan</li> <li>• Proposed SLNT targets</li> <li>• Qualifications and Training programmes</li> </ul>
<b>G. London Living Wage and FORS</b>	<ul style="list-style-type: none"> <li>• Our draft and subsidiary London Living Wage Plan</li> <li>• Implementation arrangements</li> <li>• Bombardier's commitment to the Fleet Operator Recognition Scheme</li> </ul>
<b>H. Appendices</b>	<ul style="list-style-type: none"> <li>• Bombardier equality policy</li> <li>• Bombardier NRSLO skills pledge</li> <li>• Bombardier 'Respect for People' campaign poster</li> <li>• Responsible Procurement Representative CV – [REDACTED]</li> <li>• Bombardier Supplier Code of Conduct</li> <li>• FORS Certificate (Croydon)</li> </ul>

Throughout this response we have used highlighted boxes to illustrate our previous experience of delivering responsible procurement and to showcase similar approaches adopted and delivered in our day to day operations on other contracts.

## D Monitoring and Co-ordination

An effective management structure is required to ensure that our responsible procurement plan is delivered across our NRSLO activity and throughout our supply chain.

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### Part C 3.3.1 Responsible Procurement Plan (TSA)

Our responsible procurement management arrangements for the Services element of the project comprise the following main components:

- Our responsible procurement representative and SLNT co-ordinator
- Our responsible procurement plan and method statement
- Implementation and reporting arrangements
- Communicating, encouraging and ensuring supply chain compliance

The organisation chart below shows how our responsible procurement representative (the NRSLO project director, [REDACTED]) will lead the Bombardier Responsible Procurement Steering Group and report directly to the Bombardier Executive Steering Group. We have allocated resource to support the delivery of the Bombardier responsible procurement plan from within the NRSLO project delivery team.

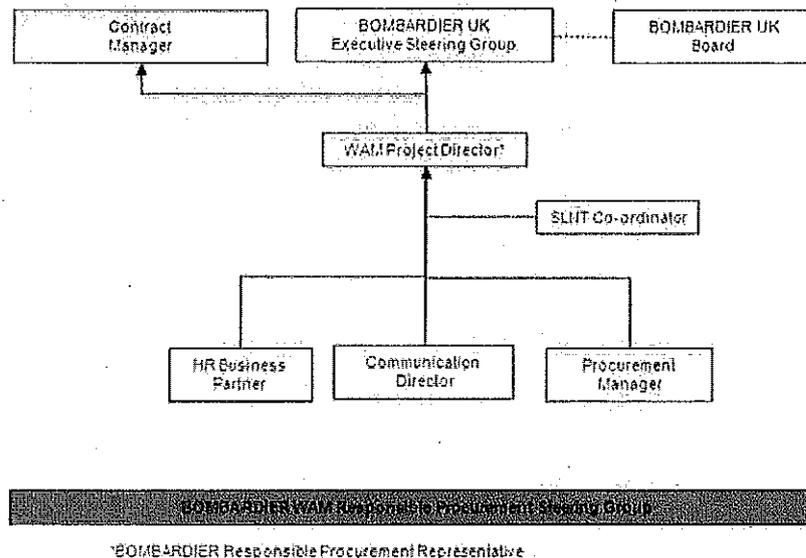


Figure 1: NRSLO Responsible Procurement Steering Group

Bombardier's approach ensures that responsible procurement activity will be monitored and reported at a project level by the appropriate functional resource. It also demonstrates our commitment to ensure that accountability for responsible procurement is transparent and reported at the highest levels within Bombardier.

The structure (as seen above) and commitment to delivering responsible procurement activity remains constant throughout the life of the NRSLO project, with the individual project directors (responsible procurement representative) changing as the project transitions through its relevant phases (for example, the transition from the train works to the maintenance stage).

In order to ensure that we implement the ongoing lessons learned from the Crossrail Responsible Procurement and gain continuity of expertise, the Crossrail Responsible Procurement team have been at the forefront of providing the inputs to this submission. Should Bombardier be successful in this opportunity we will align the roles where appropriate between the projects to ensure the delivery of the bid commitments is managed by the people who understand the Responsible Procurement process, have been involved in identifying the deliverables from the bid phase and who will be able to implement lessons learned from the Crossrail process on a continual process for the duration of the project.

## Section C

### Part C 3.3.1 Responsible Procurement Plan (TSA)

#### D.1 Our responsible procurement representative

To recognise the importance of the responsible procurement activity we have allocated the role of responsible procurement representative to the NRSLO Operations and Maintenance director, [REDACTED]. Our responsible procurement representative will direct, guide and lead our activity and ensure senior-level commitment to the delivery of our responsible procurement plan during the delivery of the services phase of the project, including:

- Own responsibility for Bombardier's performance against Responsible Procurement objectives
- Ensure Responsible Procurement is visible and is reported at all levels of the Bombardier organisation
- Manage the delivery of the responsible procurement plan through the SLNT Co-ordinator
- Establish and lead the Bombardier Responsible Procurement Steering Group, and chair and convene meetings
- Oversee the update of the responsible procurement plan and subsidiary plans

#### D.2 Bombardier NSRLO Responsible Procurement Steering Group and Team

Our responsible procurement representative will convene and direct a Responsible Procurement Steering Group for the full duration of the NRSLO project. The Bombardier NRSLO Responsible Procurement Steering Group (RPSG) will meet monthly during the first six months of the contract and then quarterly. They will be responsible for reviewing progress against our agreed responsible procurement plan targets and producing updates and reports on progress as required.

The membership of the Responsible Procurement Steering Group will evolve during the key stages of the project (i.e. transition from train works and depot works to services). The core positions have been identified below.

##### D.2.1 Procurement manager

The procurement manager will be responsible for the delivery of our supplier diversity and supply chain engagement activity in relation to responsible procurement. They will play the lead role in:

- The management and delivery of our supplier diversity plan including use of CompeteFor
- Compliance with agreed SME targets and identification of further emerging opportunities
- The management and delivery of our activity to engage our supply chain and ensure its compliance with the responsible procurement objectives

##### D.2.2 SLNT Co-ordinator

The SLNT Co-ordinator role will be created for the NRSLO project and will be the single point of customer contact for all matters relating to Responsible Procurement. Liaising directly with the HR Business Partner and the Project Procurement manager, they will manage the implementation of the plan and be responsible for:

- Collation of responsible procurement monitoring and other appropriate information and production of responsible procurement reports
- General administration support for the delivery of responsible procurement activity

Delivery of responsible procurement will also be supported by roles based centrally within Bombardier. These roles and their responsibilities in relation to the responsible procurement requirements are shown below.

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### Part C 3.3.1 Responsible Procurement Plan (TSA)

#### D.2.3 Human resources business partner

The Bombardier Human Resources Business Partner (HRBP) will be responsible for:

- Overseeing the delivery of our equality and diversity strategic plan, labour and skills gap plan, strategic labour needs and training plan and London Living Wage Plan
- Acting as the key point of contact for the NRSLO Jobs and Skills team and ensuring that Bombardier and its suppliers are working to achieve our employment and training objectives

The Bombardier HR Business Partner already provides support to a number of projects within London and the South East, including Crossrail, London Underground Limited and East and North London Lines, and is highly experienced in working with TfL to deliver responsible procurement outputs.

#### D.2.4 Bombardier communications director

The Bombardier communications director will be responsible for public affairs and public relations on the contract, including in the area of responsible procurement:

- Design and production of communications material as part of the responsible procurement activity, such as responsible procurement guidance for suppliers
- Support for responsible procurement events such as supplier briefings and meet the buyer events

#### D.2.5 Responsible procurement auditors

Responsible procurement audits of our supply chain will be undertaken through our standard audit process which will be delivered by our NRSLO project buying team.

#### D.3 Our draft responsible procurement plan and method statement

In line with our corporate responsibility policy and business-wide commitment to create meaningful economic, social and environmental benefits, we have developed a Bombardier responsible procurement policy.

Our responsible procurement objectives for the Services element are as follows:

- Promote internally our responsible procurement policy to support delivery of responsible procurement activity
- Incorporate lessons learnt from our Crossrail experience to establish and implement an effective set of monitoring and reporting procedures
- Communicate and ensure responsible procurement compliance by our subcontractors
- Implement our supplier diversity plan
- Implement our equality and diversity strategic plan
- Implement our diversity training plan
- Implement our labour and skills gap plan
- Implement our SLNT plan and method statement
- Implement our ethical sourcing plan\*
- Implement our London Living Wage Plan
- Implement our commitment to FORS

Our responsible procurement policy and objectives summarise our business-wide commitment to deliver benefits and opportunities to the communities within which we work.

We recognise that a clear and focused action plan is essential to the credible delivery of our responsible procurement objectives.

Set out below is our draft responsible procurement plan and implementation arrangements. Our responsible procurement representative will be responsible for delivering this plan with

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support from our Responsible Procurement Steering Group and other members of our Crossrail project team. We will refine the contents of this plan, in partnership with London Overground prior to the contract start date for prompt issue four weeks post-contract award, ensuring that we do not miss any opportunities to deliver effective outcomes from the outset of the NRSLO project.

\*The Ethical Sourcing Plan can be found in Part C 3.3.2 of the submission

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Table 1: Draft responsible procurement plan and implementation arrangements

ID	Responsible Procurement Objective	Current Position/Baseline	Action/Task	When	Person Responsible	Measure of Success
RP1	To establish and run our responsible procurement policy and plan.	We have a written responsible procurement policy that is aligned to our Corporate Social Responsibility (CSR) activity and the Greater London Authority responsible procurement requirements.	Widely publicise and brief all Bombardier employees involved in the project on our policy and ensure all deliverables are understood and are being undertaken.	Immediately upon Contract Award.	Responsible procurement representative, SLNT Co-ordinator, HR business partner and communications director.	Policy available and rolled out via Bombardier communications (through Site Notices) and ExpressNet (intranet).
RP2	To monitor and report Responsible Procurement progress.	Draft responsible procurement plan and sample data monitoring forms in place.	See actions in text below, which include: Collecting RP data including workforce monitoring and SLNT activity Production of RP progress reports On-going updates to RP Plan.	Contract award and then ongoing.	Responsible procurement representative and SLNT Co-ordinator.	Responsible procurement data collected and responsible procurement reports produced in a timely fashion.
RP3	To communicate, encourage and ensure responsible procurement compliance by our contractors.	Bombardier has a Supplier Code of Conduct (included as an Appendix to this document). Suppliers are required to commit and sign this document to ensure they support Bombardier CSR activity. In addition, Bombardier has created a Responsible Procurement guidance document for Crossrail suppliers. This will be rolled-out for the NRSLO project.	Amend the Crossrail responsible procurement guidance document to help subcontractors and sub-subcontractors of all tiers understand and implement responsible procurement. Distribute the Responsible Procurement guidance document to subcontractors and sub-contractors. Develop responsible procurement appendix to Supplier Code of Conduct document and require all suppliers to sign up to this.	Start-up phase.	Responsible procurement representative, project buyers, procurement manager.	Guidance document available and record kept of committed suppliers.

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ID	Responsible Procurement Objective	Current Position/Baseline	Action/Task	When	Person Responsible	Measure of Success
RP4		Employee training covering our CSR and ethical sourcing activity is in place as a direct result of the employee Performance Management Process (PMP).	Develop and deliver project specific Responsible Procurement training to all relevant Bombardier employees who will be involved in delivery of Responsible Procurement related activity. Include Responsible Procurement within the employee PMP objectives.	Ongoing through all phases of the project.	Functional managers and directors.	Responsible Procurement objectives written into employee PMPs All relevant employees attending project specific responsible procurement training.
RP5		Procurement employees training and/or familiarisation refresher takes place during internal and off-site workshops.	Deliver focused Responsible Procurement training to Procurement employees who will be dealing directly with suppliers, and who will be responsible for ensuring compliance with and delivery of Responsible Procurement commitments.	Immediately upon Contract Award.	Buyers and HR Business Partner.	All procurement employees will attend and there will be an increased understanding of responsible procurement resulting in increased compliance and delivery within the supply chain.
RP6		Bombardier has a robust supplier audit process (Supplier Evaluation and Approval Process (SEAP)) in place to ensure compliance to our requirements. Responsible procurement has been embedded into this process for the Crossrail project and will be rolled-out to incorporate the NRSLO project.	Continue the activity in relation to Responsible Procurement within the current Bombardier supply base (including experience for Crossrail) Include Responsible Procurement in any new supplier audits.	Immediately upon Contract Award.	Procurement manager and project buyers.	Report to be available on baseline level of responsible procurement activity within the supply chain.

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ID	Responsible Procurement Objective	Current Position/Baseline	Action/Task	When	Person Responsible	Measure of Success
RP7	Responsible procurement requirements included in the project information issued to potential suppliers.	Responsible procurement questionnaire to all new suppliers to establish the current level of compliance. Issue the responsible procurement guidance document developed for Crossrail to help subcontractors and sub-subcontractors at all tiers of the supply chain to understand and implement responsible procurement.	Issue the responsible procurement questionnaire to all new suppliers to establish the current level of compliance. Issue the responsible procurement guidance document developed for Crossrail to help subcontractors and sub-subcontractors at all tiers of the supply chain to understand and implement responsible procurement.	Immediately upon Contract Award.	Procurement Manager and Project Buyers.	Report to be available highlighting levels of supplier Responsible procurement compliance Responsible procurement guidance document issued to suppliers of all tiers.
RP8	Suppliers' offers are evaluated and assessed through SOET (Supplier Offer Evaluation Tool) and for the Crossrail project includes project specific responsible procurement requirements	SOET contains project specific parameters. Use the Crossrail project SOET for NRSLO project.	SOET contains project specific parameters. Use the Crossrail project SOET for NRSLO project.	Supplier negotiation and selection phase.	Procurement Manager.	NRSLO project-specific SOET tool will be available.
RP9	Bombardier holds "Supplier Day" events for new projects to ensure the key aspects of the project are communicated to supply chain.	Organise and deliver responsible procurement briefings as part of the project supplier days in London and Derby to help subcontractors and sub-subcontractors understand and implement responsible procurement.	Organise and deliver responsible procurement briefings as part of the project supplier days in London and Derby to help subcontractors and sub-subcontractors understand and implement responsible procurement.	Start-up phase	Responsible procurement representative, procurement manager and project buyers and communications director.	Agenda and feedback from the event will be published. Increased supplier awareness of responsible procurement objectives.
RP10	Project specific requirements are cascaded to suppliers through supplier contracts.	Include full set of Responsible Procurement clauses in all supplier contracts. Discuss responsible procurement requirements with direct subcontractors during all stages of the procurement process, stressing the importance of compliance and	Include full set of Responsible Procurement clauses in all supplier contracts. Discuss responsible procurement requirements with direct subcontractors during all stages of the procurement process, stressing the importance of compliance and	Supplier negotiation and selection phase.	Procurement manager and project buyers.	Inclusion of responsible procurement clause in all supplier contracts.

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ID	Responsible Procurement Objective	Current Position/Baseline	Action/Task	When	Person Responsible	Measure of Success
RP11	In all subcontract adverts and invitation to tender (ITT) documents, include responsible procurement as a key obligation.	encouraging compliance at all tiers of the supply chain.	Ensure that responsible procurement is included in all adverts and tender documents as a key obligation.	Supplier selection phase and through all phases of the project.	Project procurement and commodity buyers, HR business partner and communications director.	Adverts and ITT template to include a responsible procurement obligation at all tiers of the supply chain.
RP12	Bombardier holds Quarterly Business Reviews (QBRs) at a strategic level with all key suppliers. Supplier project specific reviews also take place.	Undertake responsible procurement health checks of direct subcontractors to check progress. As part of supplier review sessions, include responsible procurement deliverables as a standard agenda item to ensure progress is monitored on a regular basis.	Quarterly, and during each project review.	Strategic and project buyers and procurement manager.	Agenda and minutes of reviews to be available, including list of agreed actions and mitigations for suppliers in relation to responsible procurement.	
RP13	Supply chain members compliance and delivery of Bombardier corporate responsibility approach is considered through project specific reviews.	Use project reviews to discuss and agree any emergency or remedial action required to address any poor responsible procurement performance. Reviews will be monthly, weekly or daily depending on the severity. Onsite support will be available for critical suppliers to ensure they meet the responsible procurement requirements.	As required – ongoing through all project phases.	Project buyer and procurement manager where required.	Action list established following the review with clear objectives and deadlines to mitigate. TfL Responsible Procurement team to be made aware of emerging issues and mitigations	
RP14	To establish and implement a set of robust monitoring and reporting	We already collect SME data through our supply chain registration process, and have implemented a	We will utilise the Crossrail monitoring and reporting system for SME and diverse supplier data including the inclusion of an SME questionnaire	Commencement date.	Procurement manager, SLNT Co-ordinator.	Adapt supplier registration process to enable reporting on SME engagement and

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ID	Responsible Procurement Objective	Current Position/Baseline	Action/Task	When	Person Responsible	Measure of Success
RP15	procedures.	reporting system for the Crossrail project.	within our supplier registration process. A baseline will be established at contract award.			status.
		Suppliers will be audited where there are concerns around any aspect of their activities, which will have been identified through the Health Checks.	Audit subcontractor's responsible procurement performance where there are concerns around compliance.	Through all phases of the project.	Procurement manager and project buyers.	Audit report produced, including all actions and timescales to mitigate.

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In addition to the tasks detailed in the previous table, we will also implement and deliver the following sub-plans: supplier diversity plan, SLNT plan/method statement, ethical sourcing plan (submission document Part C 3.3.2), London Living Wage plan and FORS commitment. Our key monitoring and reporting activity is detailed below. We will submit quarterly responsible procurement progress reports to RfL in the required format as required by Schedule 12 of the TSA.

#### D.3.1 Monitoring and Implementation arrangements

Our responsible procurement plan and supporting plans will be maintained as live documents in spreadsheet form. Our SLNT Co-ordinator will be responsible for the ongoing management of these plans.

We already track workforce monitoring through our recruitment and induction processes using an online questionnaire (see screenshot example below). As we are doing on Crossrail, we will add an additional element to this questionnaire to cover the appropriate NRSLO requirements, including the strategic labour needs and training outcomes. This will be issued and completed through our induction and recruitment process. Data collected will be used for our responsible procurement reports and shared with TfL. It will also be reviewed by our Responsible Procurement Steering Group to consider the effectiveness of our recruitment activity at reaching under-represented groups.



*Figure 1: Tracking workforce monitoring through our recruitment and induction processes using an online questionnaire*

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#### D.3.2 Reporting arrangements

Our SLNT Co-ordinator will collate the information from our responsible procurement monitoring to produce a draft progress report. This will be reviewed by our project director (responsible procurement representative) and Responsible Procurement Steering Group before being finalised for issue to the client.

The quarterly responsible procurement progress reports will use the required NRSLO format and contain information on the following:

- Responsible procurement progress – including performance against our action plan, any areas of concern or particular successes and strategic labour needs and training monitoring as prescribed in Schedule 12 of the TSA
- Supplier diversity reporting – including SME, BAME, suppliers from under-represented or protected groups, suppliers demonstrating a diverse workforce as prescribed in Schedule 12 of the TSA
- Progress on SME targets and level of spend to date
- CompeteFor reporting – including number of opportunities posted and awarded through CompeteFor
- SLNT reporting – detailing SLNT outcomes and status as prescribed in Attachment 1 of Schedule 12 of the TSA
- Ethical sourcing practices reporting (as per Part C 3.3.2 of this submission)
- Equality and diversity strategic plan reporting – including females, minority ethnic groups, people aged under 25 and those with a disability

#### D.3.3 Key dates

This draft responsible procurement plan shows indicative timescales for our responsible procurement activity. In its finalised version this section of our plan will be used to confirm key dates from the point of contract commencement and in line with the NRSLO reporting periods.

Key dates will include:

- Proposed quarterly responsible procurement progress report submittal dates
- Proposed dates for responsible procurement progress meetings with RfL
- Proposed dates for internal audits of responsible procurement progress
- Proposed dates for updating our responsible procurement plan and associated policies

#### D.4 Communicating, encouraging and ensuring subcontractor compliance

Our overarching responsible procurement plan details a number of SMART (Specific, Measurable, Achievable, Realistic and Time bound) tasks we will undertake to communicate, encourage and work towards responsible procurement compliance by our subcontractors and the lower tiers of our supply chain. In summary, we will:

- Use our **responsible procurement guidance** document (developed for Crossrail) to help subcontractors and suppliers of all tiers to understand and implement responsible procurement.
- Organise and deliver **responsible procurement briefings** to help subcontractors of all tiers understand and implement Responsible Procurement.
- Distribute **responsible procurement guidance document** and existing Bombardier Supplier Code of Conduct to subcontractors of all tiers.
- Undertake **research into responsible procurement policies** of current, new and potential suppliers, to understand how much support they may require to comply with the **responsible procurement** requirements.

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- Undertake **responsible procurement health checks** of direct subcontractors to check progress against responsible procurement objectives.
- Deliver **responsible procurement inductions and briefings** to relevant Bombardier employees (e.g. HR and commercial employees) and continue to incorporate into our Performance Management Process (PMP) and employee training.
- Provide **1-2-1 responsible procurement support** as required and on request to Bombardier and our supply chains' employees.
- Discuss **responsible procurement requirements** with first tier subcontractors during all stages of the procurement process, stressing the importance of compliance.
- In all **subcontract adverts and tender documents**, include responsible procurement as a key, achievable obligation.
- Include full sets of cascading **responsible procurement clauses** in all subcontracts.
- Use **supplier project reviews** to evaluate subcontractors' and suppliers against Responsible Procurement performance.
- Promote **responsible procurement achievements** and reward best practice (supplier awards) to incentivise continuous improvement.
- **Audit** subcontractor's responsible procurement performance where there are concerns around compliance.
- Use **supplier reviews** to discuss and agree any emergency or remedial action required to address poor responsible procurement performance, at a frequency suitable to the severity of the issue.

We have communicated and encouraged our supply chain and will encourage any new potential suppliers to develop and consider their own approach to support the delivery of responsible procurement.

Responsible Procurement is an incumbent part of the supplier project terms and conditions for the Crossrail project, and in turn will be carried over in full to form part of the NRSLO supplier terms and conditions.

## E Diversity

This section describes in detail our overall approach to diversity for the NRSLO project covering the following four key aspects:

- Our draft equality and diversity strategic plan
- Our draft diversity training plan
- Our draft supplier diversity plan (incorporating SME/diverse supplier engagement, Meet the Buyer and use of CompeteFor)
- Our proposed minimum SME targets

### E.1 Our equality and diversity strategic plan

Bombardier is committed to providing and promoting equal opportunities and eliminating unlawful discrimination in employment and service delivery within our own workforce and individuals working within our supply chain. As a global business, Bombardier values the differences that a diverse workforce brings to both our organisation and those of our suppliers. Our equality policy sets out our company commitment and approach to equality and diversity, providing the framework for our equality and diversity strategic plan.

Our equality and diversity objectives are:

- Provide equal opportunities and eliminate unlawful discrimination in employment with particular focus on ensuring best practice in relation to recruitment advertising, selection,

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terms and conditions of employment, family-friendly policies and preventing bullying and harassment.

- Monitor and report workforce diversity and take appropriate action to address any areas of concern, including taking positive action when the workforce is not representative of the wider local community.
- Train all Bombardier employees in equality and diversity to help create a working environment free of bullying and harassment and promote an inclusive culture.

Within the following table we have set out our draft equality and diversity strategic plan, including our key equality and diversity objectives. Our Human Resources Business Partner (HRBP) will be responsible for delivering this plan and reporting on progress internally via the SLNT co-ordinator and the Responsible Procurement Steering Group.

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Table 2: Bombardier's draft equality and diversity strategic plan

ID	Equality & Diversity Objective	Current Positional Baseline	Action/Task	When	Person Responsible	Measure of Success
ED1	Provide equal opportunities and eliminate unlawful discrimination in employment.	All vacancies are shared with JobCentre Plus to ensure they are accessible to all.	Issue guidance to all involved in recruitment to ensure they are aware of this responsibility and process. Continue to forward all Bombardier vacancies to JobCentre Plus.	Within 1 month of Commencement Date.	HR Business Partner/HR Staffing Team Lead.	Increased applicants from local community.
ED2		Equality commitment included in job adverts as appropriate.	We will develop a recruitment and advertising strategy for roles/ recruitment to attract underrepresented groups.	Contract award.	HR Business Partner/HR staffing team lead, communications director.	Increased applicants from local community and underrepresented groups.
ED3		Recruitment events held in local areas as appropriate.	Identify key recruitment peaks and undertake targeted recruitment events at local venues such to promote opportunities to a wide section of the local community and recruitment days with JobCentre Plus.	Commencement Date	HR business partner/ HR staffing team lead.	Increased applicants from targeted priority groups. Increased local awareness of both the Bombardier and RfL brands.
ED4		Bombardier Equality Policy in place.	Ensure all employees involved in recruitment are aware of their responsibilities in relation to the equality policy and ensure processes are followed.	Contract award.	HR business partner.	Fair recruitment processes are followed to ensure opportunities for all.
ED5		Bombardier Equality Policy in place.	Ensure all employees are aware of the equality policy and of their individual rights and responsibilities through diversity training. Summary posters displayed in all project related offices.	Ongoing.	HR business partner.	No incidents of discrimination. Number of employees receiving diversity training increases.
ED6		Bombardier equality policy in place.	Policy to be reviewed and updated as and when legislation changes.	Ongoing.	HR director.	Policy reviewed and updated as required.
ED7	Monitor and report workforce diversity and take	Workforce diversity monitoring in place and aligned to	Ask every person who works on the NRSLO project to complete a voluntary and	From Commencement	HR business partner.	Number of monitoring forms completed

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ID	Equality & Diversity Objective	Current Position/ Baseline	Action/Task	When	Person Responsible	Measure of Success
	appropriate action to address any areas of concern.	Crossrail monitoring requirements.	confidential workforce monitoring form.	Date.		Percentage of monitoring forms completed with responses in relation to all aspects (e.g. reduced number of 'prefer not to say' responses).
ED8		Bombardier workforce diversity reports in place.	Produce quarterly workforce diversity monitoring reports.	Quarterly from Commencement Date.	HR business partner.	Workforce diversity report produced.
ED9		Bombardier workforce diversity reports in place and reviewed.	Review quarterly workforce diversity monitoring reports and take appropriate action as required and reviewed at the Responsible Procurement Steering Group to spot emerging trends in the NRSLO project.	Quarterly from Commencement Date.	HR business partner.	Workforce diversity reports reviewed and actions to address any areas of under representation identified as required.
ED11	Train all our employees in equality and diversity.	Diversity training in place within the business.	Produce Diversity Training Plan and deliver diversity training for key roles within the NRSLO team.	Ongoing.	HR business partner.	All appropriate employees (key roles) have attended training sessions.
ED13	Adapt our approach and activity to respond to the diversity of the communities within which we will be operating.	Locality research to understand diversity profile of the communities within which we will be operating.	Communications and Responsible Procurement activity will be aligned and our communications activity will be used to promote the opportunities to local communities and businesses.	Ongoing.	Communications director.	Increase in communications activity promoting opportunities and responsible procurement activity at a local level.

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#### E.2 Our diversity training plan

Bombardier's diversity training programme, *Fostering and Enabling a Diverse and Inclusive Work Environment*, already helps us to deliver our equality policy and meet our commitment to providing equal opportunities and eliminating unlawful discrimination for the NRSLO project. Bombardier has developed a bespoke diversity-training programme, which will reach all employees. The training programme is accompanied by a 'Respect for People' campaign which has recently been rolled out across all of Bombardier's UK sites and is now included as a module within the training programme (a poster for this campaign can be found in the appendices).

Bombardier's diversity training reaches all employees to ensure they are aware of their individual responsibilities and the legal context for supporting an inclusive workplace. The training uses a mix of presentation, video case studies and interactive discussion to explore the issues in workshop sessions, and there is a particular focus on valuing diversity and linking diversity to our core values and leadership. Invites to training sessions are issued by Noel Travers, Chairman of Bombardier, to reinforce the commitment to equality from the most senior level within our business.

The table below outlines the training format and audience to demonstrate how the training will reach all relevant roles within the NRSLO project:

*How diversity training reaches all relevant roles*

Audience	Training Format	When	Person responsible
All new employees	Induction content covering equality and diversity policy, individual roles and responsibilities and project context	Induction	HR Business Partner
Senior Managers and Supervisors	One day Training Session	Within first 3 months of employment	HR Business Partner
All employees	Equality Briefings/ Toolbox Talks/ Shift Briefings	Ongoing – at least two per year	HR Business Partner

#### E.3 7.3 Supplier Diversity Plan

As part of our responsible procurement policy we will produce a specific supplier diversity policy, which sets out our objectives in relation to maximising the opportunities for diverse suppliers within our supply chain. Our supplier diversity objectives are to:

- Advertise all appropriate and relevant opportunities using CompeteFor
- Post contract awards on CompeteFor
- Evaluate tenders fairly, using transparent evaluation criteria
- Develop new, and enhance existing relationships with SME and diverse supplier stakeholders
- Instigate our own Meet the Buyer events and support Meet the Buyer events organised by RfL
- Remove barriers for new entrants to our supply chain

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- Provide support to new entrants to help them join our supply chain
- Comprehensively measure supplier diversity performance, including SME targets
- Continually monitor SME targets to identify emerging opportunities to further increase SME targets
- Work in partnership with RfL to identify issues and solutions to emerging trends early and transparently

The design, supply and maintenance of a high technology and safety-critical product such as the Bombardier *AVENTRA* being proposed for NRSLO, requires input and support from a highly specialised global engineering supply base. Despite this, there remains significant opportunity for positive SME and diverse supplier engagement to which Bombardier is committed. Having undertaken in-depth analysis of the supply-chain for the NRSLO opportunity Bombardier can commit to achieving a minimum SME target of 25% for the Services element of the contract.

Bombardier will work to promote all possible opportunities to SMEs and potential new diverse suppliers in relation to the Train Works. We will align this with a regular review of our forecasted project spend to identify emerging opportunities for SMEs/diverse suppliers throughout the NRSLO contract. Any opportunities identified (both planned and emerging) will be advertised on CompeteFor and, where appropriate, at Meet the Buyer events. Bombardier is already engaged with CompeteFor and our buying team is currently using the CompeteFor system for the Crossrail project.

#### **Evidence: Working with CompeteFor to promote SME engagement**

The procurement team at Bombardier has worked with CompeteFor for the Crossrail project in order to advertise opportunities for SMEs to work with us. This has proved invaluable and enabled Bombardier to gain an in-depth understanding of the system and its benefits. We have also held discussions with CompeteFor to undertake relevant user training for all appropriate Bombardier and key subcontractor employees for the Crossrail project.

#### **Evidence: Supporting and monitoring supply chain diversity**

The procurement team at Bombardier has extensive experience of tracking and reviewing the diversity and country of origin of our supply chain on major projects. On the London Overground, East London Line and our North London Line contract we used a supply chain questionnaire for our supplier base to track our progress in relation to supplier diversity. This showed that 48% of our supplier base was based in the UK and revealed that over 75% of our UK supplier base were diverse suppliers.

This initial experience is being taken further for the Crossrail project where reporting from the CompeteFor portal is being utilised to produce bespoke reporting in line with the requirements of the Crossrail Responsible Procurement obligations. Further, we have adapted our internal supplier evaluation, assessment and monitoring processes to ensure the relevant data is captured and reported.

On the following page we have set our draft supplier diversity plan, including our key supplier diversity objectives. Our procurement manager, as a member of the NRSLO Project Team will be responsible for delivering and reporting on this plan. We will work with RfL to refine the contents of this plan prior to the contract start date so that the plan will be completed promptly upon contract award.

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Table 3: Draft Supplier Diversity Plan

ID	Equality & Diversity Objective	Current Position/ Baseline	Action/Task	When	Person Responsible	Measure of Success
SD1	To advertise all appropriate opportunities and contract award using CompeteFor.	Bombardier is a member of the CompeteFor Forum and is already utilising CompeteFor on the Crossrail project to maximise local and SME supplier outcomes through the delivery of the contract. Bombardier will monitor and audit its supply base for membership of CompeteFor.	Bombardier will continue to work with CompeteFor to optimise use of the portal in the execution phase of the NRSLO Contract. Bombardier will also require all of our first tier supply chain partners to use the CompeteFor system to promote opportunities across the supply chain for the project.	Immediately upon contract award announcement.	Procurement Manager.	Bombardier continues to actively use the CompeteFor form. Bombardier undertakes an audit of use of CompeteFor within the supply chain. Number of opportunities posted on CompeteFor by Bombardier and the supply chain.
SD2	To evaluate tenders fairly, using transparent evaluation criteria.	Bombardier actively uses a number of tools including SEAP (Supplier Evaluation and Approval Process), to ensure transparency and that tenders are compared in an objective manner. Procurement has been embedded in	Bombardier will utilise its evaluation model which ensures its evaluation criteria are transparent and offer equal opportunity to SMEs and diverse suppliers.	Ongoing.	Procurement Manager.	Bombardier actively uses a number of tools, including Project Specific SEAP, to ensure transparency and that tenders are compared in an objective manner.

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ID	Equality & Diversity Objective	Current Position/ Baseline	Action/Task	When	Person Responsible	Measure of Success
SD3	To instigate our own Meet the Buyer events and support Meet the Buyer events organised by NRSLO and SME and diverse supplier stakeholders such as CompeteFor.	Bombardier undertakes Meet the Buyer events linked to major procurement activity.	We will during the supplier bid phase of our concession activity deliver Meet the Buyer activity; this will either be a standalone Meet the Buyer event to coincide with our key tendering activity or attending any NRSLO Meet the Buyer events.	Contract Award.	Procurement Manager.	Numbers of new suppliers attending Meet the Buyer activity and then competing for work with our supply chain increases.
SD4	To remove barriers for new entrants to our supply chain.	Bombardier recognises that many SMEs and diverse suppliers may be intimidated in dealing with large organisations. The task will be to make Bombardier more approachable.	We will engage new SME suppliers by working with CompeteFor and other local agencies to promote opportunities to potential SME suppliers.	Contract award.	Procurement Manager.	Number of new SME suppliers bidding for work with us.
SD5	To promote support to new entrants to help them join our supply chain.	Bombardier works with new suppliers to familiarise them with the process and policies relevant to their scope of	We will continue to provide support for SMEs and any supplier who requires it to ensure they are able to complete our tendering requirements.	Contract award.	Procurement Manager.	Policy is available. Bombardier actively supporting suppliers.

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ID	Equality & Diversity Objective	Current Position/ Baseline	Action/Task	When	Person Responsible	Measure of Success
SD6	To comprehensively measure supplier diversity performance. Including SME targets.	Bombardier does collate data on its supply base to assess their SME or diversity status. The data is analysed through SEAP (Supplier Evaluation and Approval Process) and through bespoke reporting during the project phase.	Bombardier will continue to use its supplier evaluation process to ensure this data is analysed for all new suppliers. We will analyse existing suppliers as their approval status is reviewed.	Bid Phase.	Procurement Manager.	Comprehensive reporting is available each quarter as part of our RP plan reporting.
SD7	To ensure our key suppliers are aware of, and live up to the NRSLO Skills pledge.	Supplier Code of Conduct already in place (please see appendices). Key suppliers to the Crossrail project are aware and are meeting the requirements of the Crossrail Skills Pledge	Bombardier will require its first tier suppliers to sign the NRSLO Skills Pledge, mirroring the process undertaken on the Crossrail project.	Ongoing.	Procurement Manager/ Buyers.	Suppliers sign the NRSLO Skills pledge.

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#### E.4 Supporting our suppliers

Bombardier works continuously to support our suppliers and, in particular, new entrants to help them join our supply chain and secure work with us and others within the supply chain. Examples include:

- We have run a Lean Business Workshop with the managers and operators of a key supplier to demonstrate how poor processes affect customer satisfaction and profit. From this we worked with the supplier on a process flow for component repairs, which identified key areas that they then used when revising their workshop layout plan. This resulted in an improved workflow and improved on-time delivery.
- We have worked with a supplier on improvement in the workshop layout and process. The areas developed so far are in tooling availability and identification, support jig changes to allow 360-degree access to components and material supply to line by implementing kitting offline. This has now started to give an improved on-time delivery performance.

#### F Strategic Labour Needs and Training (SLNT)

This section describes our detailed proposals for:

- Our draft SLNT plan/method statement
- Our proposed SLNT targets

As a business Bombardier has long recognised that our continued success relies on hiring, training, motivating and retaining people with the skills and commitment our business needs. All our employees have an annual appraisal with a tried and tested Performance Management Process (PMP), which enables us to provide training and development opportunities for all of our employees and new recruits.

We take our role and activity in relation to strategic labour needs and training very seriously and are committed to investing in this as a business. We will work through the life of the Services contract to deliver opportunities for training, development and employment for all. Bombardier has signed the NRSLO Skills Pledge, which is included as an appendix to this document. All first-tier suppliers will also be expected to sign and comply with the Skills Pledge upon contract award.

We actively seek to develop long-term sustainable working relationships with organisations and partners who share our vision and aspiration to develop the future skills base for our industry. We have been working with Job Centre Plus promoting our vacancies through their systems to ensure barriers to entry are removed. We are working in partnership with the University of East London to source graduates for the Services work and have developed a shared approach to future training, which includes provision of internships linked to their courses. We are also a long-term member of the National Skills Academy for Railway Engineering (NSARE).

Our SLNT commitment and proposed activity is detailed later in this document.

Bombardier is committed to investing in skills and employment activity to ensure equality of access to opportunities and to deliver a skills legacy for London and the UK Rail Industry. We pride ourselves on our approach to workforce development, the effectiveness of which is evidenced by our low turnover rates.

Our commitment to SLNT, which is embedded within our business, has informed the development of our SLNT objectives for this contract in both the MSA and the TSA, which are to:

- Inspire future talent by providing work placements, workforce skills, work experience and schools engagement activity

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- Ensure SLNT considerations are included in the selection, contracting and management of subcontractors and suppliers and make subcontractors and suppliers aware of support to encourage and promote SLNT activity within the supply chain
- Attract, develop and retain personnel with the skills (including numeracy and literacy) necessary to deliver the project, including provision of apprenticeships and graduates
- Develop (and review periodically) training plans for apprentices and other trainees
- Monitor and report SLNT outcomes

#### F.1 Our labour and skills gap plan

On the following pages we have stated the vacancies we expect to arise for the delivery of the services

As a high-tech design, manufacturing and services company, our focus in terms of HR is to work with a range of agencies and partners to ensure that skills gaps do not occur. Our existing relationships with Job Centre Plus and the recruitment agencies we already engage with have enabled us to understand the skills challenges and context for recruitment.

This focus is supported through our training and development programme, which enables new employee entrants to not only reach the required entry standards but to also grow into different/more complex roles.

Please note that we have anticipated TUPE considerations for both Willesden and Seven Kings in our analysis.

Please note that the labour and skills gap plan has been developed in a form suitable for inclusion in the Agreement as an Appendix to Schedule 12 of the TSA.

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### Part C.3.3.1 Responsible Procurement Plan (TSA)

#### F.1.1 Delivery of services – Labour and Skills Gap Plan

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#### F.2 8.2 Our SLNT plan and method statement

Bombardier is committed to investing in skills and employment activity to ensure equality of access to opportunities and to deliver a skills legacy for London.

Our commitment to SLNT, which is embedded within our business, has informed the development of our SLNT objectives for this contract, which are to:

- Support and deliver local recruitment opportunities by developing a long-term relationships
- Inspire future talent by providing apprenticeships, work placements, workforce skills, work experience and schools engagement activity
- Ensure SLNT considerations are included in the selection, contracting and management of subcontractors and suppliers and make subcontractors and suppliers aware of support to encourage and promote SLNT activity within the supply chain
- Attract, develop and retain personnel with the skills (including numeracy and literacy) necessary to deliver the project, including provision of apprenticeships and graduates
- Develop (and review monthly) training plans for apprentices and other trainees
- Monitor and report SLNT outcomes

#### F.2.1 Headline commitments

Bombardier will be fully compliant with the SLNT requirements of the TSA. Excluding the elements of the Services which are not carried out in London Bombardier will deliver 239SLNT outcomes in London, including over 51% (123) of these from the NRSLO Priority areas of apprentices and job starts. This represents an overprovision of London opportunities of 10%.

A summary of the SLNT outputs for the Services element of the proposal is shown below:

Table 5: Effective recruitment from NRSLO SLNT priority areas

SLNT	NRSLO Priority		Placement Positions	Job Starts (non-workless)	Overall Totals
	Apprentice (New)	Job Starts (workless Inc Graduates)			
Services	36	87	50	66	239
<b>TOTAL</b>	<b>36</b>	<b>87</b>	<b>50</b>	<b>66</b>	<b>239</b>

#### F.2.2 Delivering apprentice opportunities – Services

Bombardier recruits advanced apprentices who achieve an NVQ3 with a particular bias in terms of a skill, e.g. electrical, mechanical, and welding. These are determined by business requirement. We currently have 30 apprentices at different stages of the scheme, with another 15 who joined us in September 2014 and a further four who will be based in Crewe working on component repair.

Our programme commences with the apprentices spending approximately nine months in a Learning and Development Centre, with an approved college taking them to an NVQ2 (Performing Engineering Operations). Upon completion of this stage they then return to Bombardier and developing evidence towards their NVQ3. Verification of this evidence is conducted externally. We have also developed internally a series of phase tests, which demonstrate that the apprentices can put their learning into practice. These phase tests will be

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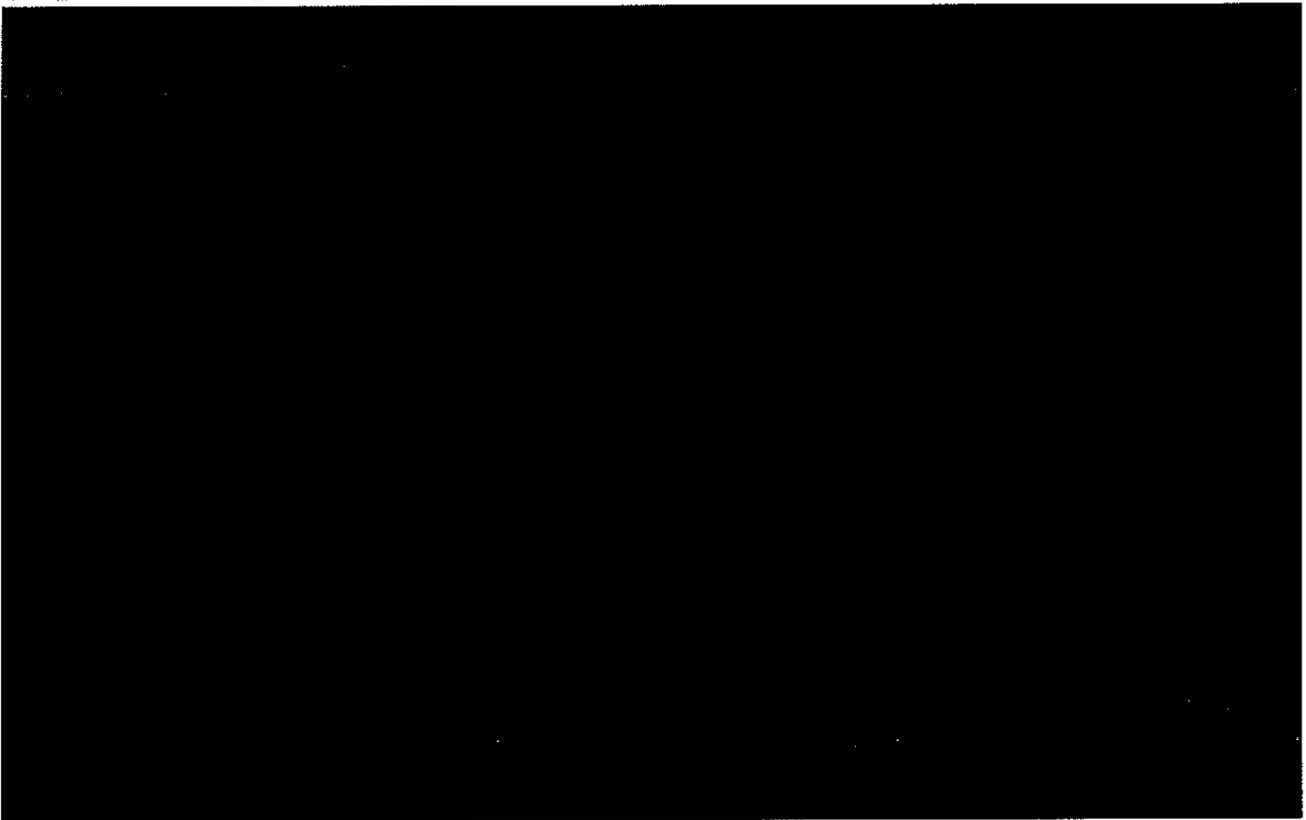
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reviewed to ensure they align with the NRSLO requirements. Apprentices gain qualifications throughout the period of their apprenticeship. Typically these are:

- During 1st year an NVQ2 is attained, and the target is to complete a BTEC by the end of the second year. During the remainder of the apprenticeship, typically qualifications attained include:
  - NVQ level 3 – Extended Diploma in Engineering Maintenance
  - BTEC Level 3 Diploma in Engineering

There are additional framework elements that apprentices also complete including Employment Rights and Responsibility, and Personal Learning and Thinking Skills

An example of a Bombardier apprenticeship training Plan in year 1 is shown below:



#### F.2.3 Providing graduate opportunities

Bombardier had 14 graduates enter the business in 2013 who are working across the train works and maintenance operations. In September 2014 we recruited 12 graduates onto our two-year programme in the following specialist areas: engineering, operations, project management, quality and procurement.

Our structured induction programme gives a unique insight into Bombardier, while real work on a series of rotational projects will develop the graduates' skills and give a thorough grounding in the relevant function. Mentoring is provided from Chartered and Senior Engineers and Managers who give the continuous support and coaching graduates need to gain Chartered status. Bombardier has an approved chartered status graduate programme –

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we currently run two different accredited programmes – CIPS and Institution of Engineering and Technology (formerly Institute of Electrical Engineers). This programme has been so successful it has been accredited for a further three years.

The draft SLNT Plan/method objectives and actions are set out below, including the process for ensuring that our supply chain takes SLNT considerations into account. Our human resources business partner will be responsible for delivering this plan and be supported by our SLNT Co-ordinator and the Responsible Procurement team.

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Table 6: The draft SLNT Plan/method objectives and actions

ID	Equality & Diversity Objective	Current Position/ Baseline	Action/Task	When	Person Responsible	Measure of Success
SLNT1	To support and deliver local recruitment opportunities by developing a long-term relationship with NRSLO's Responsible Procurement Representative	On-going engagement with Job Centre Plus and establishment of systems which are aligned to promote all our vacancies on their system.	Meet with the NRSLO team to discuss how our own recruitment processes can be aligned to team processes to ensure all emerging vacancies are shared effectively.	Ongoing	HR Business Partner and SLNT Co-ordinator	Transparency of processes and alignment with NRSLO on Responsible Procurement commitments
SLNT2			Meet with the NRSLO Responsible Procurement lead to confirm the SLNT obligations.	Ongoing	HR Business Partner and SLNT Co-ordinator	Meeting Programme and obligations agreed.
SLNT3			Produce recruitment protocol and send all appropriate vacancies to Job Centre Plus (JCP).	Ongoing	HR Business Partner	All vacancies issued.
SLNT4			Liaise on an on-going basis with the NRSLO team to discuss and review progress in relation to SLNT.	Ongoing	HR Business Partner and SLNT Co-ordinator	Agree review processes and ensure effectiveness of approach
SLNT7	To attract, develop and retain personnel with the skills (including numeracy and literacy) necessary to deliver the project for the duration of the Services period	Existing commitment to investing in training and development.	We will secure and deliver our SLNT commitment in relation to Apprentices by setting aside relevant roles and sourcing candidates for these roles with local partners.	Commence Date and ongoing.	HR Business Partner	Number of Apprentices supported achieving the SLNT target.
SLNT8			We will develop individual learning plans for all apprentices and graduates and keep these under review to ensure that all those who	Commence Date and ongoing.	HR Business Partner	All apprentices and graduates with learning plans.

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ID	Equality & Diversity Objective	Current Position/ Baseline	Action/Task	When	Person Responsible	Measure of Success
SLNT9			join us are able to develop and progress.		HR Business Partner	Number of Bombardier graduate appointments from Partnership Universities.
SLNT11	To ensure SLNT considerations are included in the selection, contracting and management of subcontractors and make suppliers and subcontractors aware of support to encourage and promote SLNT activity within the supply chain.	Supplier Code of Conduct already in place.	We will continue to work with Universities and their engineering schools to source graduates and provide work placements and explored future initiatives such as curriculum links and guest lectures. As outlined in our supply chain management section all of our key suppliers will be expected to sign the NRSLO Skills pledge and a project specific Responsible Procurement code of conduct as well as having the Responsible Procurement requirements embedded within their contract.	Ongoing	Procurement Manager and Project Buyers	Suppliers delivering SLNT activity.
SLNT12	To monitor and report SLNT outcomes.	Employment and training information tracked across the business.	We will establish SLNT monitoring systems tracking information from the point of appointment onwards. Monthly data will be collated with reports produced quarterly.	Ongoing	HR Business Partner	SLNT reports produced accurately reflecting outcomes delivered on the contract.
SLNT13	To monitor and report SLNT outcomes.	Employment and training information tracked across the business.	We will establish SLNT monitoring systems tracking information from the point of appointment onwards. Monthly data will be collated with reports produced quarterly.	Ongoing	HR Business Partner	SLNT reports produced accurately reflecting outcomes delivered on the contract.

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#### F.3 Our proposed SLNT targets

Below we have identified the vacancies that will be realised through the Services phase of the NRSLO project.

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F.3.1.1 Services SLNT outcomes table

Table 7: The vacancies that will be realised through the Services phase of the NRSLO project

SLNT Outcomes Table (Points)	Year	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	Total	
Apprentices Job Start (inc. workless and existing staff)	Priority	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	36	
Workless Job Starts (inc. workless Graduates)	Priority	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	2	3	87
Other Areas	No	1	2	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	50	
Educational/Career Support - Placement Positions	No	1	2	2	2	2	1	2	2	2	2	1	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	66
Job Start (Non Workless)																																								
Total SLNT																																								239



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#### F.3.1.2 Services SLNT outcomes summary

Table 8: Services SLNT outcomes summary

SLNT Category	TOTALS	Equivalence value per £1m	SLNT OUTCOMES - FTE
Apprentices (new)	36	1 FTE	36
Job start (workless inc graduates)	87	1 FTE	87
Job start (non-workless)	66	1 FTE	66
Placements (days)	50	200 days	50
	239	OVERALL TOTAL SERVICES SLNT OUTCOMES	239

## G London Living Wage

This section sets out Bombardier's approach to the London Living Wage:

- The draft and subsidiary London Living Wage Plan

### G1 Our London Living Wage Plan

Below, we have set out our London Living Wage Plan, the objectives of which are set to ensure we meet or exceed the minimum requirements of the contract. Our Human Resources Business Partner will be responsible for delivering this plan.

To support the ongoing objectives of the GLA Group Responsible Procurement Policy, we will ensure our employees and subcontractors pay their employees the London Living Wage for any hours worked on the project. We will also audit London Living Wage payment.

Table 9: London Living Wage Plan

	London Living Wage Objectives	Current Position/ Baseline	Action/Task	When	Person Responsible	Measure of Success
LL2	Ensure Subcontracts/ Suppliers at all tiers pay their employees London Living Wage.		Communicate, procure and specify that subcontractors pay the London Living Wage for hours worked on this project.	On-going.	Project Buyers.	London Living Wage paid to subcontractor employees
LL3	To audit London Living Wage payment, sub-contractors/ suppliers.	Existing audits in place, but do not cover London Living Wage.	Audit project workforce monitoring which will request consideration of London Living Wage – we	Twice yearly.	HR Business Partner.	London Living Wage paid.

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			already audit for minimum wage			
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#### G.1.1 Ensuring compliance

Bombardier requires suppliers to complete a survey as part of the Supplier Code of Conduct. We have introduced unannounced on-site spot checks to ensure that suppliers are meeting our standards including paying the London minimum wage. By the end of 2013 Bombardier had conducted spot checks on all critical suppliers, with no abnormalities identified.

#### **Evidence: Supplier code of conduct – spot checks**

During 2012, 22 spot checks were successfully carried out at supplier premises – no abnormalities were identified.

When issues are identified through the spot check process, the next steps will be:

- Further in depth audits
- Agreement on corrective action plans
- Termination of the relationship should non-compliance continue

#### G2 The Fleet Operator Recognition Scheme (FORS)

Bombardier is fully committed to working with TfL to improve freight safety. Bombardier has previous experience of working with FORS and in October 2014 achieved Bronze-level accreditation for its work undertaken at Croydon following an audit by FORS. The certificate for the Croydon accreditation can be found as an appendix to this document. This experience will be drawn upon for the NRSLO project.

Bombardier will work with TfL and FORS to widen its accreditation to include the NRSLO project and will attain membership within 90 days of the commencement date. Bombardier is working with all key suppliers (of any tier) who operate Freight Vehicles and/or Vans that will require access to any of the London sites in order to ensure that they comply with the requirements for:

- Collision reporting and FORS reports
- Vehicle equipment and driver licensing and training report
- Associated driver training
- Details of any subcontractors/suppliers used in the delivery of freight for the contract in London

It is Bombardier's intention that all appropriate suppliers (of any tier) will achieve (and maintain) Bronze Membership with an annual assessment for Silver or Gold membership. Bombardier will work with the TfL FORS team, with the information and processes associated with the relevant audit, to ensure full compliance in this area.

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### H Appendices

H.1 Appendix Bombardier Equality Policy

**BOMBARDIER**

Equality Policy

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This policy details the Company's commitment to providing equal opportunities and the elimination of unlawful discrimination in employment as it values the differences that a diverse workforce brings to the organisation. An important aspect of ensuring equal opportunities in employment is to ensure that the work environment is free of harassment, bullying and that everyone is treated with dignity and respect.

#### Scope

This policy applies to all employees, contractors whether permanent or temporary and third parties that have day to day dealings with the Company.

#### Equal opportunities in employment

It is unlawful to discriminate directly or indirectly in recruitment or employment because of age, disability, sex, gender reassignment, pregnancy, maternity, race (which includes colour, nationality and ethnic or national origins), sexual orientation, religion or belief, or because someone is married or in a civil partnership. These are known as "protected characteristics".

Discrimination after employment may also be unlawful, e.g. refusing to give a reference for a reason related to one of the protected characteristics.

The Company is committed to taking positive steps to ensure that there is no unlawful discrimination in all aspects of employment including recruitment, promotion, opportunities for training, pay and benefits, discipline and selection for redundancy.

This means that for :

#### 1. Recruitment Advertising:

- we will consider the appropriateness of how and where to advertise a vacancy
- the wording of an advert will be considered to ensure that there is not used direct discriminative language such as 'salesman' or 'young'.
- ensure each advert carries an equal opportunities statement.
- in some circumstances may appoint or promote a person with a protected characteristic in preference to another person, who does not have the protected characteristic.
- ensure opportunities for promotion and training are communicated to all employees on a fair and equal basis

#### 2. Selection:

- ensure role profiles are defined to those requirements that are necessary for the effective performance of the job.
- assess applicants objectively against the requirements for the job
- consider any reasonable adjustments that may be required for applicants with a disability

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- ensure health, disability and personal or home commitments do not form the basis of employment decisions except where necessary.

#### 3. Terms and Conditions of employment:

- consider any possible indirect discriminatory effect of standard working practices, including the number of hours to be worked, the times at which these are to be worked and the place at which work is to be done,
- consider requests for variations to standard working practices. Requests will only be refused if the Company considers it has good reasons and which are unrelated to any protected characteristic.
- will consider requests for changes to working practices as set out in our Flexible Working Policy.
- make reasonable adjustments to standard working practices to overcome barriers caused by disability.

#### 4. Family Friendly Policies

The Company provides employees with a variety of family friendly opportunities. For further information, please refer to the Maternity, Parental Leave, Paternity and Adoption Leave policies which are found on the UK Policy and Standards data base in Lotus Notes

#### 5. Monitor Equal Opportunities

- monitor the ethnic, gender and age composition of the existing workforce and of applicants for jobs (including promotion).
- monitor the number of people with disabilities within the existing workforce.
- will review and take any appropriate action to address any problems that may be identified as a result of the monitoring process.

#### 6. Third Parties

- The Company will not discriminate against customers using or seeking to use goods, facilities or services provided by us.
- Employees should report any bullying or harassment by customers, suppliers, visitors or others to their manager who is required to take appropriate action.

#### Commitment from employees

Employees should support the Company in meeting its commitment to providing equal opportunities in employment. Employees can be held personally liable as well as, or instead of, the Company for any act of unlawful discrimination. Acts of discrimination, harassment, bullying or victimisation against employees or customers are disciplinary offences and will be dealt with under our disciplinary procedure. Discrimination, harassment, bullying or victimisation may constitute gross misconduct and could lead to dismissal without notice. Employees who commit serious acts of harassment may also be liable to criminal charges.

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#### Types of unlawful discrimination

**Direct discrimination** is where a person is treated less favourably than another because of a protected characteristic. An example of direct discrimination would be refusing to employ a woman because she is pregnant.

In limited circumstances, the company can directly discriminate against an individual for a reason related to any of the protected characteristics where there is an occupational requirement. The occupational requirement must be crucial to the post and a proportionate means of achieving a legitimate aim.

**Indirect discrimination** is where a provision, criterion or practice is applied that is discriminatory in relation to individuals who have a relevant protected characteristic (although it does not explicitly include pregnancy and maternity, which is covered by indirect sex discrimination) such that it would be to the detriment of people who share that protected characteristic compared with people who do not, and it cannot be shown to be a proportionate means of achieving a legitimate aim.

**Harassment** is where there is unwanted conduct, related to one of the protected characteristics (other than marriage and civil partnership, and pregnancy and maternity) that has the purpose or effect of violating a person's dignity; or creating an intimidating, hostile, degrading, humiliating or offensive environment. It does not matter whether or not this effect was intended by the person responsible for the conduct.

**Associative discrimination** is where an individual is directly discriminated against or harassed for association with another individual who has a protected characteristic (although it does not cover harassment because of marriage and civil partnership, and pregnancy and maternity).

**Perceptive discrimination** is where an individual is directly discriminated against or harassed based on a perception that they have a particular protected characteristic when they do not have that protected characteristic.

**Third-party harassment** occurs where an employee is harassed which is related to a protected characteristic (other than marriage and civil partnership, pregnancy and maternity), by third parties such as clients or customers. For an employer to be liable:

- the harassment must have occurred on at least two previous occasions (although not necessarily by the same harasser or suffering the same type of harassment);
- it must be aware that the previous harassment has taken place; and
- it must have failed to take reasonable steps to prevent harassment from happening again.

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#### What is bullying and harassment?

Bullying is offensive, intimidating, malicious or insulting behaviour, and/or an abuse or misuse of power that is meant to undermine, humiliate or injure the person on the receiving end.

Harassment is unwanted conduct related to relevant protected characteristics, which are sex, gender reassignment, race (which includes colour, nationality and ethnic or national origins), disability, sexual orientation, religion or belief and age, that

- has the purpose of violating a person's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that person;
- or
- is reasonably considered by that person to have the effect of violating his/her dignity or of creating an intimidating, hostile, degrading, humiliating or offensive environment for him/her, even if this effect was not intended by the person responsible for the conduct.

Conduct may be harassment whether or not the person behaving in that way intends to offend. Something intended as a "joke" may offend another person. Different people find different things acceptable. Everyone has the right to decide what behaviour is acceptable to them and to have their feelings respected by others. Behaviour which any reasonable person would realise would be likely to offend will be harassment, without the recipient having to make it clear in advance that behaviour of that type is unacceptable to them, e.g. touching. It may not be so clear in advance that some other forms of behaviour would be unwelcome to, or could offend, a particular person, e.g. "banter", flirting or asking someone for a private drink after work. In these cases, first-time conduct which unintentionally causes offence will not be harassment but it will become harassment if the conduct continues after the recipient has made it clear, by words or conduct, that such behaviour is unacceptable to them.

Harassment may also occur where a person engages in unwanted conduct towards another because they perceive that the recipient has a protected characteristic as described above, when the recipient does not, in fact, have that protected characteristic. For example, were an individual to tease repeatedly a person because of an incorrect belief that that the recipient is deaf. Similarly, harassment can occur where an individual is bullied or harassed because of associations with another person or with whom they are directly connected, for example being associated with a person who is gay or a friend with strong religious beliefs.

Harassment also includes circumstances where an individual is subjected to unwanted conduct from a third party, such as a client or customer. For example, it might be that a client makes a series of racist remarks to an employee. If an employee feels that they have been bullied or harassed by customers, suppliers, vendors or visitors, they should report any such behaviour to their manager who will take appropriate action. A single incident can be considered to be an act of harassment if it is sufficiently serious.

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All bullying and harassment is a disciplinary offence which will be dealt with under our disciplinary policy. Bullying or harassment will often be gross misconduct, which can lead to dismissal without notice.

Bullying or harassment will constitute unlawful discrimination where it relates to one of the protected characteristics, which are sex, gender reassignment, race (which includes colour, nationality and ethnic or national origins), disability, sexual orientation, religion or belief and age. Serious bullying or harassment may amount to other civil or criminal offences.

##### What can I do to help stop bullying and harassment?

We all have a responsibility to help create and maintain a work environment free of bullying and harassment. You can help to do this by:

- being aware of how your own behaviour may affect others and changing it, if necessary - you can still cause offence even if you are "only joking";
- treating your colleagues with dignity and respect;
- taking a stand if you think inappropriate jokes or comments are being made;
- making it clear to others when you find their behaviour unacceptable, unless it should be obvious in advance that this would be the case;
- intervening, if possible, to stop harassment or bullying and giving support to recipients;
- making it clear that you find harassment and bullying unacceptable;
- reporting harassment or bullying to your manager or human resources and supporting the Company in the investigation of complaints; and
- if a complaint of harassment or bullying is made, not prejudging or victimising the complainant or alleged harasser.

Managers are particularly responsible to:

- set a good example by their own behaviour,
- ensure that there is a supportive working environment,
- make sure that employees know what standards of behaviour are expected of them,
- intervene to stop bullying or harassment.

##### Examples of bullying or harassment

Bullying and harassment may be behaviour that is physical, verbal or non-verbal, e.g. by letter or email (so-called "flame mail").

Examples of unacceptable behaviour covered by this policy includes and are not limited to:

- physical conduct ranging from unwelcome touching to serious assault;
- unwelcome sexual advances;
- offering rewards for accepting sexual advances, e.g. promotion, access to training;

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- threats following rejection of sexual advances, e.g. suggestions that refusing advances will adversely affect the employee's employment, performance review, pay, advancement, assigned work, or any other condition of employment or career development;
- demeaning comments about a person's appearance;
- unwelcome jokes or comments of a sexual or racial nature or about an individual's age, disability, sexual orientation or religion;
- questions about a person's sex life;
- unwanted nicknames that may also reference for example an individual's age, race or disability;
- the use of obscene gestures;
- excluding an individual because they are associated or connected with someone with a protected characteristic, e.g. their child is gay, spouse is black or parent is disabled;
- ignoring an individual because they are perceived to have a protected characteristic, e.g. an individual is thought to be of a particular race or religion, or sexuality;
- the open display of pictures or objects with sexual or racial overtones, even if not directed at any particular person, e.g. magazines, calendars, posters;
- spreading malicious rumours insulting or ridiculing an individual;
- picking on someone or setting him/her up to fail;
- making threats or comments about someone's job security;
- isolation or non-cooperation at work;;
- excluding someone from social activities.

#### What should I do if I believe I am being bullied or harassed?

You may want to resolve the matter informally. The person may not know that their behaviour is unwelcome or upsetting to you. An informal discussion may help them to understand the effects of their behaviour and agree to change it. You may feel able to approach the person yourself, or with the help of someone such as a manager, another employee, or a Human Resources Business Partner (HRBP). Alternatively, an initial approach could be made on your behalf by one of the aforementioned. Clearly state to the person the unwelcome or offensive behaviour that you want to stop immediately. If the behaviour continues, you intend to make a formal complaint to your manager. You should keep a note of the date and what was stated and agreed. This will be evidence if the unacceptable behaviour continues and you wish to make a formal complaint.

If an informal approach does not resolve matters, or you believe the situation is too serious to be dealt with informally, you can raise a formal complaint by using the Company's grievance procedure. In the case of grievances about bullying or harassment, the normal grievance procedure is modified so that you can choose whether to raise your grievance either with your manager or directly with your HRBP.

In very serious cases, a criminal offence may have been committed and you may wish to report matters to the police. Arrangements can be made for someone to support you to make a complaint to the police.

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### Part C 3.3.1 Responsible Procurement Plan (TSA)

All complaints will be investigated promptly and, if appropriate, disciplinary proceedings will be brought against the alleged harasser. You will have the right to be accompanied by a work colleague or trade union representative of your choice at any meeting dealing with your grievance. You will be kept informed of the general progress of the process of investigation and the outcome of any disciplinary proceedings. The Company will decide on a balance of probabilities, after considering all available evidence, whether or not harassment or bullying has occurred.

The Company will treat complaints of bullying and harassment sensitively and maintain confidentiality to the maximum extent possible. Investigation of allegations will normally require limited disclosure on a "need to know" basis. For example, your identity and the nature of the allegations must be revealed to the person you are complaining about, for them to be able to respond to the allegations. Limited details may also have to be given to potential witnesses with the importance of confidentiality being emphasised to them. If the complaint is upheld, and a person who has been found to have harassed you remains in the Company's employment, managers may need to be given some information where this is necessary for them to manage the risk of further harassment by that person against you or others.

If your complaint is upheld, and the person found to have bullied or harassed you remains in the Company's employment, every effort will be made to ensure that, if possible, you do not have to continue to work alongside the harasser, if you do not wish to do so. We will discuss the options with you, which may include the transfer of the harasser, or that you wish to transfer to another department.

If your complaint is not upheld, the HRBP will support the alleged harasser and your manager(s) in making arrangements for you both to continue or resume working and to repair working relationships. You have a right not to be victimised for making a complaint in good faith, even if the complaint is not upheld. However, making a complaint that you know to be untrue may lead to disciplinary action being taken against you.

#### What happens if I am accused of bullying or harassment?

If someone approaches you informally about your behaviour, do not dismiss the complaint out of hand because you were only joking or think the complainant is being too sensitive. Remember that different people find different things acceptable and everyone has the right to decide what behaviour is acceptable to them and to have their feelings respected by others. You may have offended someone without intending to. If that is the case, the person concerned may be content with an explanation and an apology from you and an assurance that you will be careful in future not to behave in a way that you now know may cause offence. Provided that you do not repeat the behaviour that has caused offence that may well be the end of the matter.

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### Part C 3.3.1 Responsible Procurement Plan (TSA)

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If a formal complaint is made about your behaviour, this will be fully investigated and the Company may bring disciplinary proceedings, if appropriate. The Company will follow its disciplinary procedure and you will have the rights set out in that procedure. You will have the right to be informed of the allegations against you and to put your side of the story and to be accompanied to meetings by a trade union representative or work colleague of your choice. The procedure will be implemented at the appropriate stage for the seriousness of the allegation. Complaints of bullying and harassment will often be allegations of gross misconduct that, if proved, could lead to dismissal without notice.

The Company will treat complaints of bullying and harassment sensitively and maintain confidentiality to the maximum extent possible. Investigation of allegations and future management of risk, if complaints are upheld, will normally require limited disclosure on a "need to know" basis. For example, some details may have to be given to potential witnesses but the importance of confidentiality will be emphasised to them.

Wherever possible, the Company will try to ensure that you and the complainant are not required to work together while the complaint is under investigation. If the allegation is of gross misconduct, you may be suspended on full pay during the investigation and, if a disciplinary hearing is to be called, until disciplinary proceedings have been concluded.

If the complaint against you is upheld, on a balance of probabilities, a disciplinary penalty may be imposed up to and including dismissal, having regard to the seriousness of the offence and all relevant circumstances.

If a complaint is made against you that is not upheld and there are good grounds for believing that the complaint was not made in good faith, disciplinary action against the person making the false complaint.

You must not victimise a person who has made a complaint in good faith against you or anyone who has supported or corroborated their evidence in making the complaint. Disciplinary action will be taken against you if there is good reason to believe that you may have victimised the complainant or a person who was involved as a witness to events.

If the complaint against you is not upheld, the human resources department will support you, the complainant and your manager(s) in making arrangements for you both to continue or resume working and to help repair working relationships.

Some types of bullying or harassment may constitute unlawful discrimination and allegations may give rise to the possibility of other civil claims or criminal proceedings against you, which would proceed independently of the Company's disciplinary proceedings. You could be personally liable to pay compensation to the complainant if a successful claim in the employment tribunal or other courts was brought against you. Criminal proceedings could lead to conviction and criminal penalties.

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### Part C 3.3.1 Responsible Procurement Plan (TSA)

#### **Training**

The Company will also provide training to all existing and new employees and others engaged to work at the Company to help them understand their rights and responsibilities to help create a working environment free of bullying and harassment.

Training in equal opportunities will be provided to managers and others likely to be involved in recruitment or other decision making where equal opportunities issues are likely to arise.

The Company will provide additional training to managers to enable them to deal more effectively with complaints of bullying and harassment.

#### **Monitoring and review**

This policy will be monitored periodically to judge its effectiveness and will be updated in accordance with changes in the law. In particular, the Company will monitor the ethnic and gender composition of the existing workforce and of applicants for jobs (including promotion), the number of people with disabilities within these groups. It will review its equal opportunities policy in accordance with the results shown by the monitoring and if changes are required will implement them accordingly.

# Section C

## New Rolling Stock for London Overground Project

### Part C 3.3.1 Responsible Procurement Plan (TSA)

#### H.2 Bombardier NRSLO Skills Pledge

London Overground New Passenger Rolling Stock Project  
Train Services Agreement  
Draft (to 22 August 2014)

Appendix 3  
London Overground Skills Pledge

*Bombardier Transportation*

### London Overground



### London Overground Skills Pledge

On behalf of ..... Bombardier Transportation UK Ltd .....

I, .....  .....

Am making a commitment that we shall:

- Actively encourage and support our employees to gain the skills and qualifications that will meet the needs of London Overground and our business and will support their future employability
- Further support our employees to acquire basic literacy and numeracy skills and work towards their first full Level 2 qualification
- Demonstrably raise our employees' skill and competencies to improve our organisational performance through investing in economically valuable training and development

Signed .....  ..... Date ..... / ..... / .....

Name Noel Travers .....

Position Managing Director UK .....

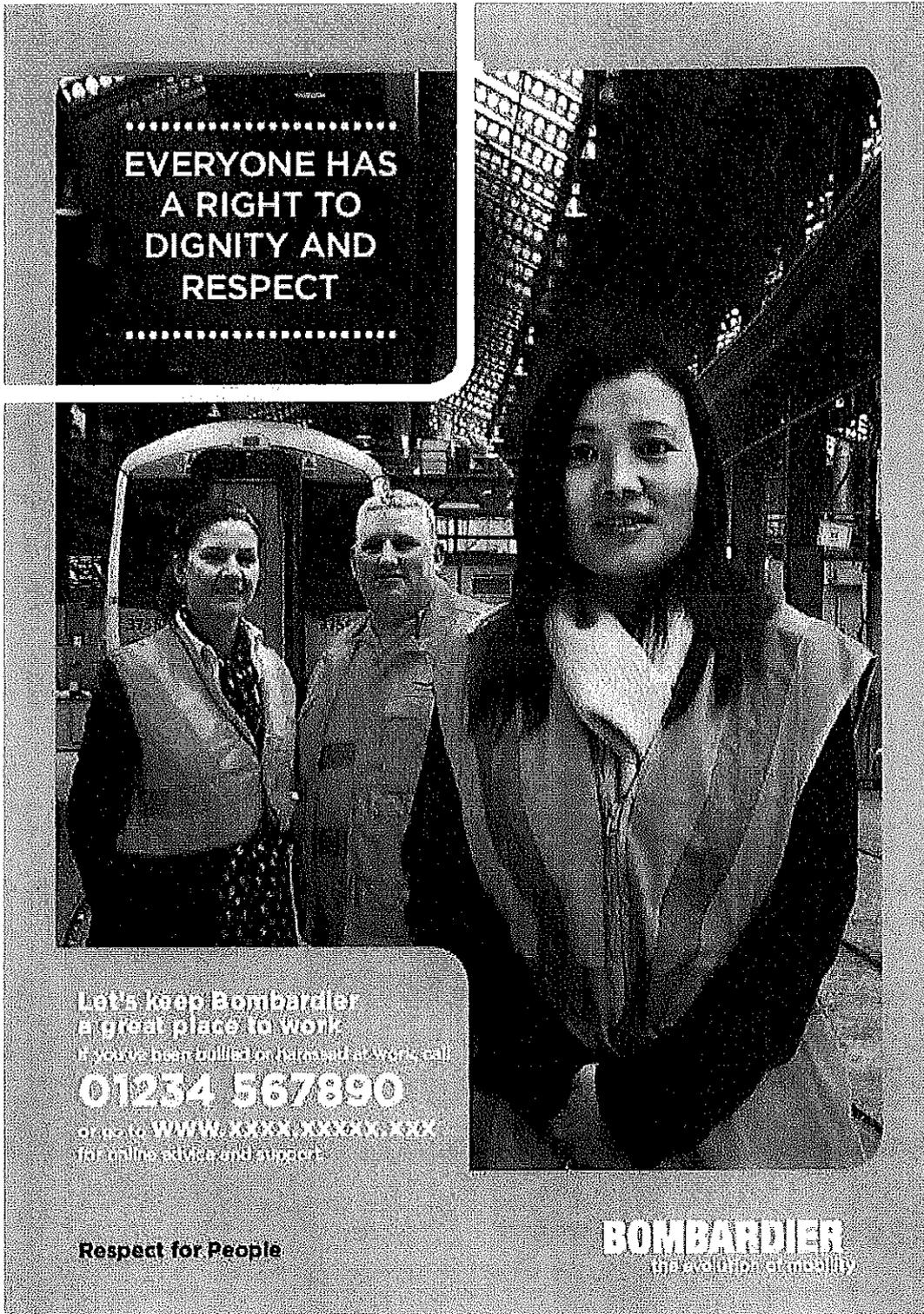
Company Bombardier Transportation UK Ltd .....

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## Part C 3.3.1 Responsible Procurement Plan (TSA)

### H.3 Respect for People campaign poster



## Section C

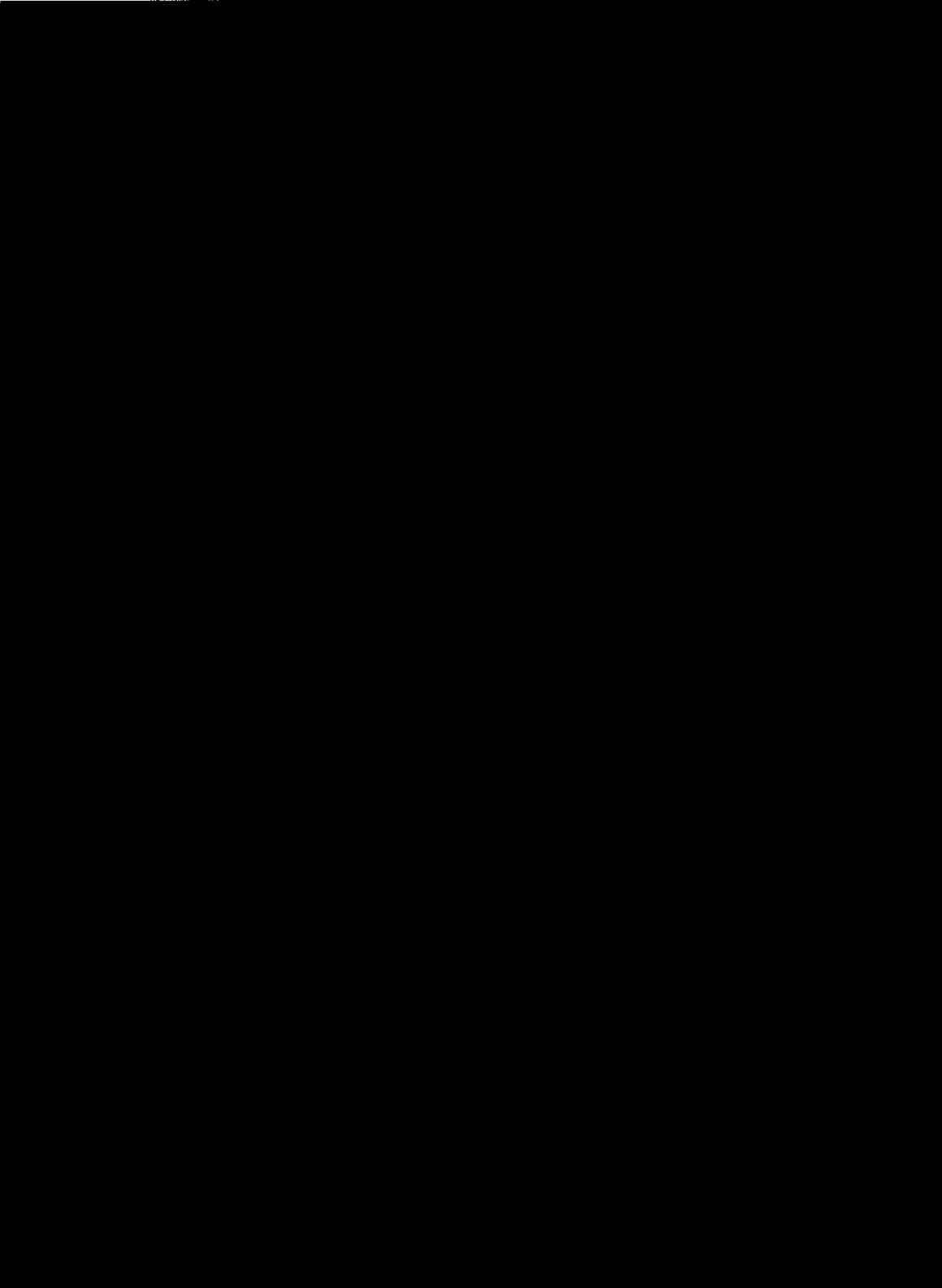
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Project Director: 

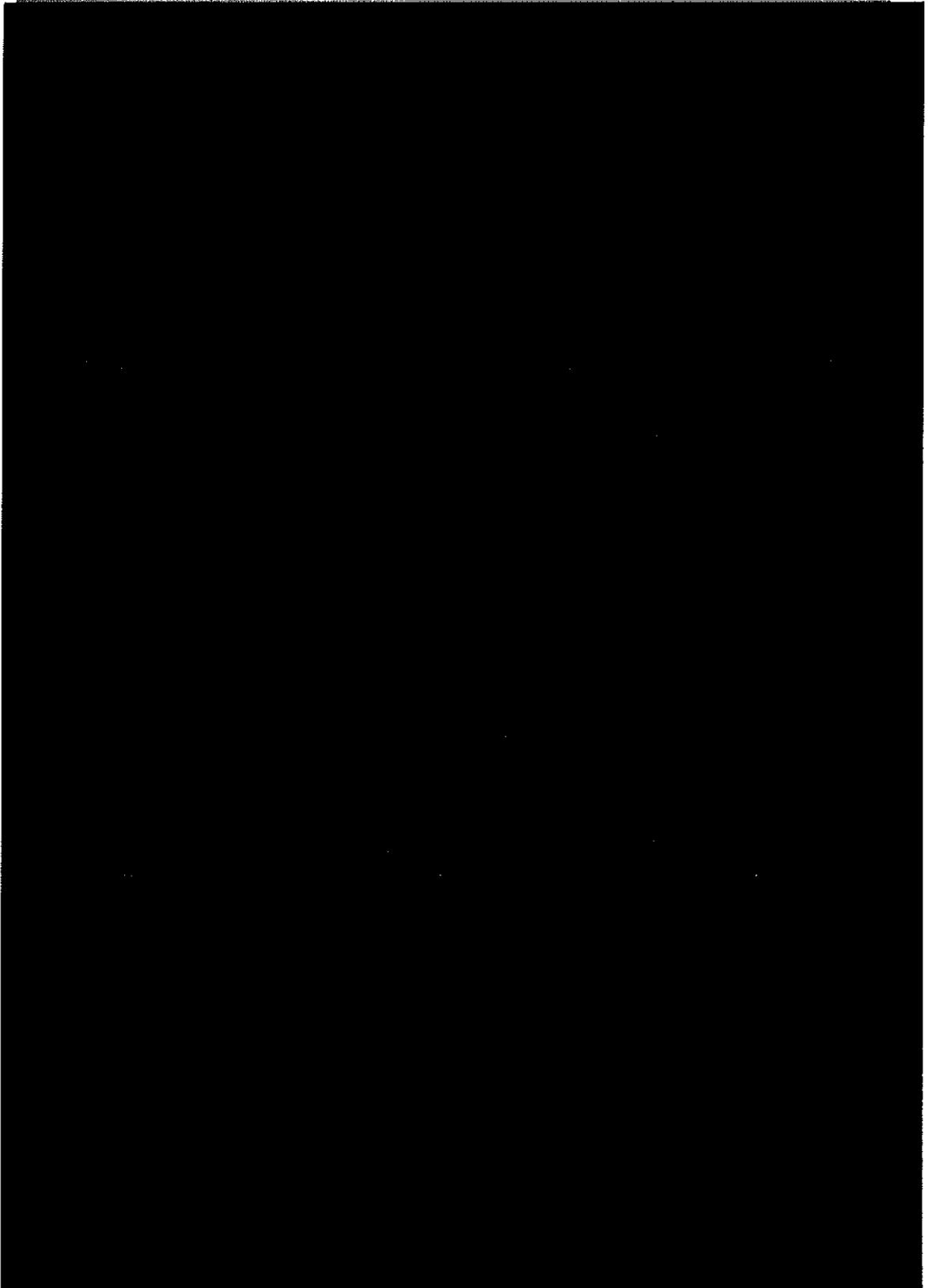


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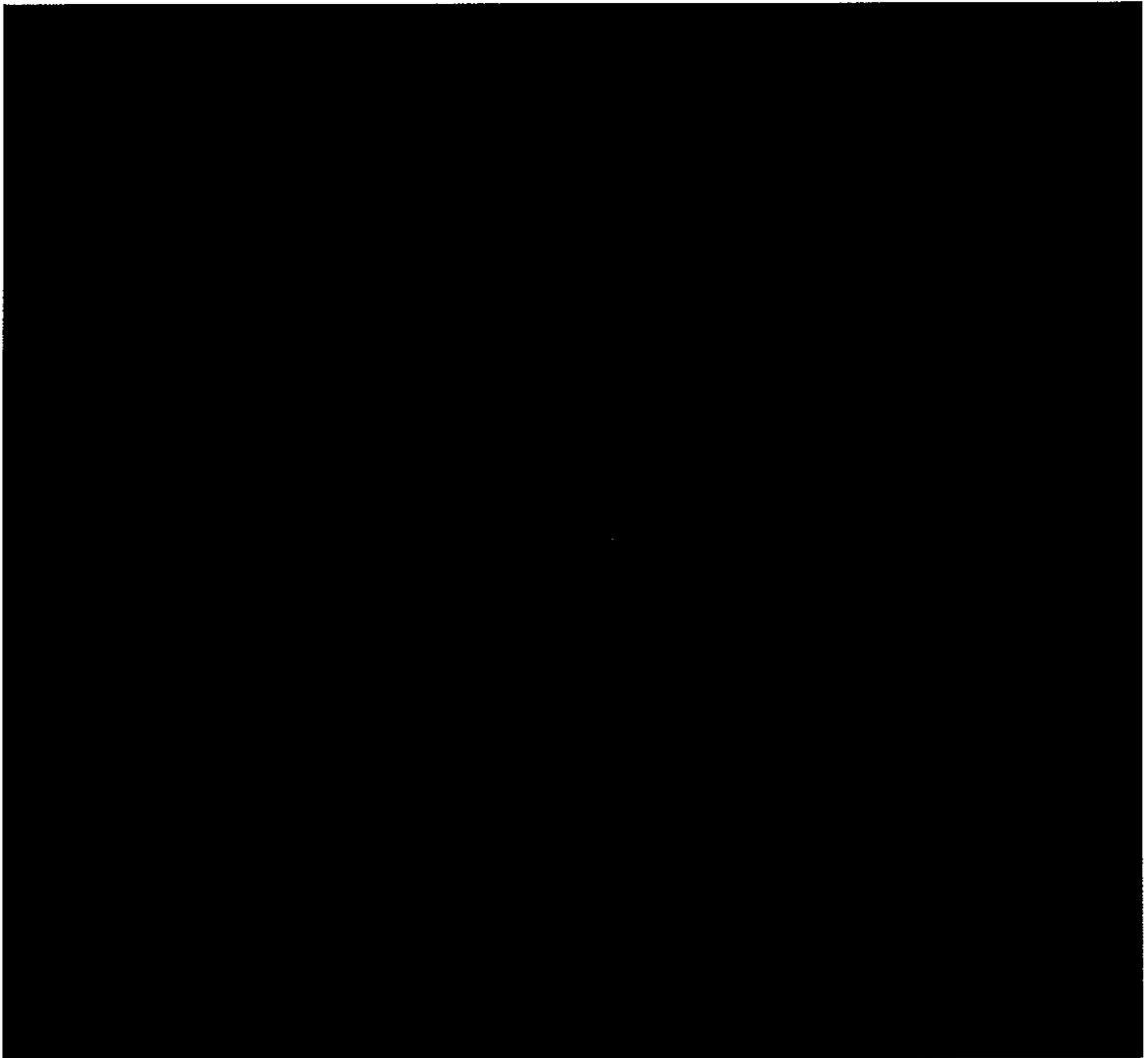
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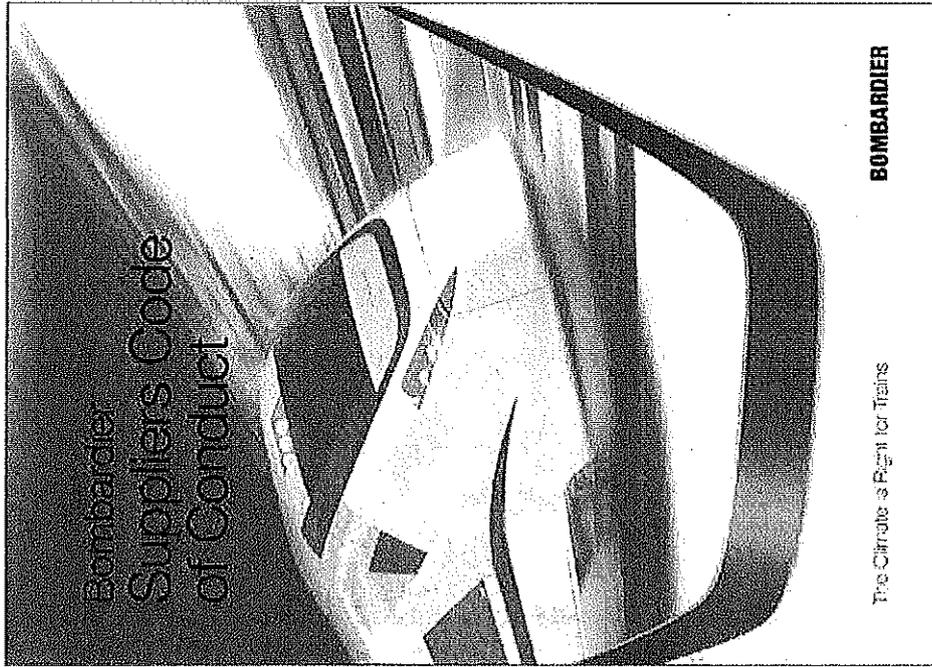
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# New Rolling Stock for London Overground Project

## Section C

### Part C 3.3.1 Responsible Procurement Plan (TSA)

#### H.5 Bombardier Supplier Code of Conduct



**Bombardier  
Suppliers Code  
of Conduct**

The Climate is Right for Trains

**BOMBARDIER**

### About Bombardier

All Bombardier employees share a strong commitment and a strategic approach to corporate responsibility. This is essential for managing the challenges and opportunities of a rapidly changing global environment.

To that end, Bombardier has adopted a Corporate Responsibility Roadmap that focuses on our strategy for managing our business in a sustainable manner. Among the announced initiatives in our roadmap is Bombardier's decision to become a signatory to the United Nations Global Compact, a voluntary initiative that promotes business leadership in support of the Global Compact's ten

principles in the areas of human rights, labor standards, environment and anti-corruption.

Therefore, in line with Bombardier's values for its suppliers, Bombardier wishes to actively engage its supply chain by the adherence of all its suppliers to its Supplier Code of Conduct (herein the "Supplier Code") that has been developed with recognition of the ten principles outlined in the United Nations Global Compact.

Bombardier places substantial value upon suppliers who support and respect the internationally recognized human rights contained in the Universal Declaration of Human Rights such as equality, life and security and freedom.

### Legal Compliance

This provision of the Supplier Code sets forth Bombardier's expectations from all suppliers with whom we do business.

Therefore, Bombardier expects the Supplier and any of its subsidiaries or affiliates to comply with its applicable laws through this Supplier Code only.

This provision applies to Bombardier direct suppliers. Bombardier encourages the supplier to ensure its own suppliers to comply with its terms. The Supplier and its employees who are expected, at a minimum, to comply with the requirements set forth in the Supplier Code or with the provisions of the laws and regulations in each jurisdiction where the supplier operates shall have a traceable record.

# Section C

## Part C 3.3.1 Responsible Procurement Plan (TSA)

### Conflict of Interest / Ethics

The Supplier must disclose any actual or potential conflict of interest and discuss it with Bombardier's management.

Any activity that is approved, despite the actual or apparent conflict, must be documented.

### Anti-Corruption

Bombardier promotes integrity and ethics in all aspects of its activities.

regulations on corruption, bribery, prohibited business practices and extortion. Furthermore, the supplier must never make or approve an illegal payment to anyone, under any circumstances.

Bombardier expects the supplier to comply with all applicable laws and

### Health & Safety

Bombardier provides a safe workplace to its employees. Bombardier expects that the occupational health and safety of employees is a priority for the supplier throughout all significant aspects of its activities.

occupational illnesses and work-related accidents and to provide a safe and healthy workplace to its employees.

Bombardier encourages the supplier to:

- Communicate to its management, employees and contractors his commitment to improving health and safety and to provide training on such commitment.
- Apply for and maintain OHSAS 18001 or equivalent certification.
- Systematically evaluate his health and safety performance through appropriate audits and report progress.

At a minimum, the supplier must comply with all applicable health and safety laws, regulations and standards. The supplier shall take appropriate action such as policies, standards, procedures,

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### Labor

Bombardier expects the supplier to comply, at a minimum, with all applicable local laws and regulations related to labor and employment including, but not limited to minimum wage, maximum hours of work, days of rest, compensation, freedom of association, right to organize and collective bargaining.

any person under the menace of any penalty. For example, the supplier's employees must be free to leave work or terminate their employment with reasonable notice and they are not required to surrender any government-issued identification, passports or work-permits as a condition of employment.

Freedom of association

The supplier is expected to recognize the principle of freedom of association and the right to collective bargaining.

Respect and dignity

The supplier is expected to treat all employees fairly, ethically, respectfully and with dignity. The supplier must protect its employees from harassment, bullying and victimization in the workplace, including all forms of sexual, physical and psychological abuse.

Discrimination

Bombardier supports diversity and employment equity. The supplier is expected to offer equal employment opportunities and compensation without any discrimination, unless such discrimination is based on the inherent requirements of the job or in the course

Furthermore, Bombardier expects the supplier to comply with the following principles:

Child labor

Bombardier will not engage in or support the use of child labor. The supplier is expected not use child labor. By child labor we mean employees under the age of 15 years old. However, for employment or work which by its nature or the

circumstances is not suitable for a person under the age of 18 years old, child labor shall mean employees under the age of 18 years old.

Forced or compulsory labor

Bombardier will not engage in or support the use of forced or compulsory labor. The supplier is expected not to exact any work or service from

# Section C

## Part C 3.3.1 Responsible Procurement Plan (TSA)

### Environment

Bombardier conducts its operations in a sustainable way and in compliance with the laws and regulations on environment.

Bombardier expects that environmental protection is a priority for the supplier in all significant aspects of its activities. At a minimum, the supplier must comply with all applicable environmental laws, regulations and standards. The supplier shall strive to reduce the impacts of its activities and products on the environment and work towards a "total life-cycle" view in product design, while maintaining its competitiveness.

The supplier shall:

- Adopt any appropriate policy, standard, procedure, contingency measure and management system in order to ensure that its operations are managed ecologically and in a sustainable way.
- Take necessary measures in order to prevent pollution, to conserve and use rationally the natural resources required for its operations and implement relevant emergency response plans and procedures.

Bombardier encourages the supplier to:

- Communicate to its management, employees and contractors his commitment to improving environment and to provide training on such commitment.
- Systematically evaluate his environment performance through appropriate audits and report progress.
- Apply for and maintain ISO 14001 or equivalent certification.

### Governance

Bombardier may verify the compliance of all its direct suppliers with the Suppliers Code.

Such verification will be conducted by way of a supplier's self-evaluation or an audit by Bombardier (or an external resource designated by Bombardier) who may visit the Supplier facilities with or without notice.

Compliance with the principles contained in the Suppliers Code is a criteria that is taken into consideration in Bombardier's supplier selection process.

Whenever a situation of non-compliance is identified, Bombardier may work with the supplier to develop and implement a corrective plan to improve the situation. Bombardier will continue to develop monitoring systems to assess and ensure compliance with the Suppliers Code.

Bombardier encourages the supplier to:

- Implement policies, procedures, tools and indicators necessary to ensure compliance with the principles listed above.
- Commit to the principles of the UN Global Compact.
- Participate in a CSR network (e.g. UN Global Compact ([unglobalcompact.com](http://unglobalcompact.com)), European Association for CSR ([csr-essa.com](http://csr-essa.com))).

# Section C

## Part C.3.3.1 Responsible Procurement Plan (TSA)

### 'Supplier Responsibility & Commitment'

**As a supplier of Bombardier, your role begins but does not end with understanding this Suppliers Code.**

His/turction is to ensure that all compliance issues raised through any channels offered to you in this Suppliers Code, are resolved quickly, fairly, and at the proper level in the organization.

If any ethical or legal compliance issues arise that raise questions in your mind, you have the responsibility to bring them forward.

To raise a concern you can call the Bombardier's Compliance Officer at +1 514 861-8870 or email at [compliance.office@bombardier.com](mailto:compliance.office@bombardier.com).

In addition, an independent and confidential reporting system is available 7 days a week, anywhere in the world, [www.ethicspoint.com](http://www.ethicspoint.com). Its website and call centre services are offered in multiple languages. You can find the toll-free number for your country on the Bombardier website.

Supplier name: .....

Title: .....

Name: .....

Date: .....

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the evolution of mobility

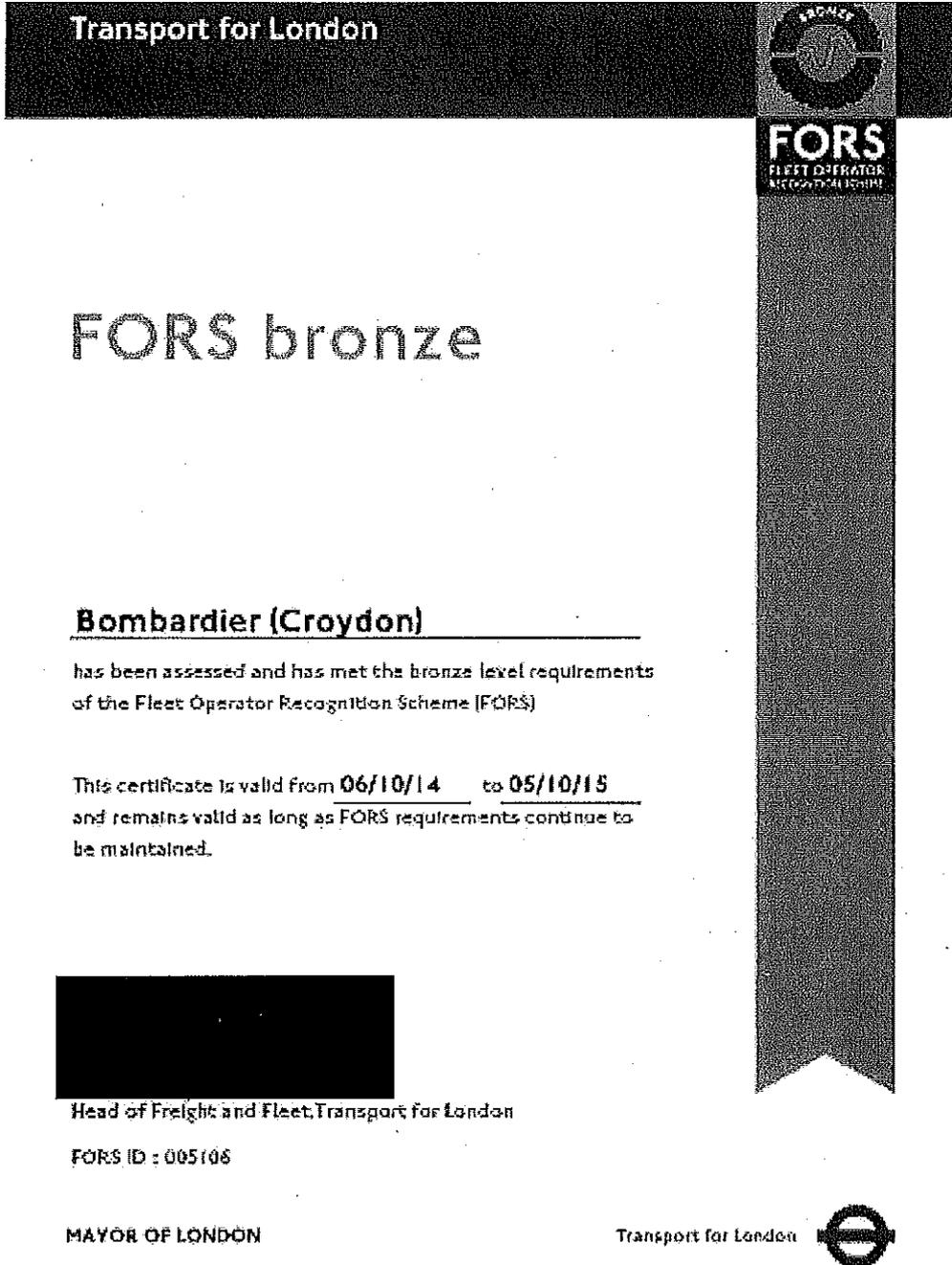
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### H.6 Bombardier FORS certificate



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Part C 3.3.1 Responsible Procurement Plan (TSA)

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## FORS bronze

Scope of accreditation for:

### Bombardier (Croydon)

Valid from 06/10/14 to 05/10/15

Total number of vehicles	
Van <= 2.5T	1
LGV/HGV >= 2.5T	0
Flexi cars	0
Coaches	0
Trailers	0
Total number of operating centres	
Operating centre post code/s	
CRO40G	

