

# LU Transformation Business Case

- Asset Operations



## LU Transformation Business Case:

### Asset Operations

Date: 01.11.2017

Status: Presented to Executive Committee on 30 October. Approved 3 November.

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## 1. Asset Operations Proposal

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This business case sets out our formal proposals for organisational change in the Asset Operations (AO) area of London Underground (LU). This proposal has been approved by the TfL Executive Committee (ExCo) and is subject to consultation with the recognised trade unions.

Our Asset Operations proposal:

- Further establish and integrate our new AO directorate, organised around pan-LU asset categories for seamless and streamlined operations to support all LU lines
- Deliver a single person accountability model and clear leadership for each of our asset groups, delivering consistent network asset performance for LU operations
- Implement a simpler, more inclusive organisation with fewer layers to empower our employees at all levels to take ownership, drive decisions and improve accountability
- Develop an end-state model that enables modernisation to deliver more efficient maintenance practices and efficiencies for AO
- Enable the adoption of a single asset management system and apply a consistent approach to our planning materials, logistics and local administration across the asset organisation
- Fully integrate AP JNP asset organisation (in phases) into LU AO directorate, after our Amey contract expires in December 2017
- Further align pan-LU asset categories and delivery model in our proposed AO structure, with Renewal and Enhancements (R&E). Implement simpler interfaces with TfL Engineering, Asset Strategy teams and other support functions to drive reductions in our asset lifecycle cost

This proposal should drive better day-to-day safety, performance and make LU a more customer-centric organisation with a sustainable cost base. It sets a platform to work cross-operationally and improves visibility of AO across the organisation.



## 2. Business case narrative

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### 2.1. Context

The Mayor has an ambitious programme to deliver an affordable, accessible and safe transport network for London. Our job is to deliver this within our Business Plan.

To that end, we're designing a more modern London Underground that will be better for London, and better for everyone who works in LU.

What we do really matters to the millions of people who use our network every day. But like every business, we can't afford to stand still, particularly given the two major challenges we're currently facing.

Firstly, London's population is growing by the equivalent of two full tube trains every week, and is expected to reach 10 million by 2030 – demand for our services is certain to increase over time.

We're also facing an unprecedented financial challenge, with cuts to our government funding of around £4bn over the next five years. To bridge that gap, we need a long-term plan to cost less every day.

Moreover, we are delivering the biggest tube capacity growth in London's history.

To achieve this, we're creating a more modern London Underground that will deliver on four priorities:

1. **Safety and reliability:** become an even safer and more reliable railway.
2. **Customer service:** be better for our customers, every day..
3. **Affordability:** balance the budget and do more for less.
4. **People:** Empower our people and make LU a better place to work.

Work to shape our new organisation to meet these priorities is already well underway.

In May, we launched consultation around plans to create a new functional operating model in London Underground, as well as a new pan-TfL Engineering directorate.

In London Underground, we've created two new functions within operations. These are **Network Operations** - made up of **Customer Service**, which is focused on customer service delivery in stations, and **Line Operations**, which is responsible for line performance and reliability.

We've also established a new function called **Asset Operations**, which brings all of our maintenance activities together under one team. AO is organised by asset groupings,



helping us keep our costs down. It has a flatter structure and will help us adopt a one team approach to safety, performance, reliability and maintainability.

Our new **Renewals & Enhancements (R&E)** directorate will deliver a wide portfolio of projects to improve London Underground. This work involves replacing life-expired assets to improve safety and reduce maintenance costs (renewals) and delivering programmes that improve service frequencies and / or facilities on the railway (enhancements). R&E also supports the delivery of Major Projects by delivering packages of work through our expert delivery teams.

Finally our new **Strategy & Network Development (S&ND)** directorate is responsible for strategy, sponsorship and change activities across LU. In S&ND, we'll drive improvements, set long-term plans and improve decision making by balancing competing internal and external demands against available funding.

In September, we put our new model in place, along with a new senior leadership team and prior to that, we stood our new Major Projects directorate up in July.

But, there's still a lot of work to do as we review the remaining levels of the organisation. Over the next few months we'll be consulting on plans to make further improvements across a number of areas in London Underground.

We've changed many times before but we haven't always looked beyond saving money or moving a few reporting lines around. Over the last few years, our organisation has been bolted together bit-by-bit, and we've seen initiatives and reorganisations that only solved one problem at a time.

This time, we're focusing on designing an LU that's strong and sustainable – built for the long term.

In the new organisation, we expect to see:

- More accurate planning and better allocation of resources
- Clearer lines of accountability and more consistent leadership
- Better and faster decision making, with less need for escalation
- More open and accessible leaders and managers who are more empowered
- Less duplication and waste

But this is just the tip of the iceberg. Even with our new organisation in place, we must always strive to be an even more successful business, which stays ready and prepared for the future.

## 2.2. Issues to be addressed

We carried out an extensive review of our existing organisation in 2016, which continues to inform the case for change. The review findings are grouped under four headings:

### Structural issues

Until we implemented our new functional structure, London Underground was the outcome of piecemeal changes over 15 years; it was set up for the Public Private



Partnership (PPP) and then reabsorbed in a fragmented way. The presence of three separate Service Delivery Units (SDUs) had led to inconsistencies in customer service and asset maintenance, as well as duplication and inefficiencies across the network. We've addressed this by moving to a functional structure with new directorates focused on Customer Service, Line Operations, Network Delivery and AO (in which our activities are now organised by asset groupings).

### Customer focus

Historically it's been a challenge to translate TfL customer strategy into genuinely customer-focused frontline delivery. Our customers' experiences were inconsistent because of the balance of line, SDU and network structure. By moving to a functional model, we'll be better equipped to improve the customer experience.

### Affordability

Following the withdrawal of TfL's operating subsidy our current cost base is unaffordable. The first phase of transformation allowed us to review our senior management teams, but now we must ensure that all layers of our organisation are affordable in the future.

### Balancing day-to-day performance and strategic change

The old structure had too many touchpoints, professional services which support operational delivery weren't well aligned and there was a lack of clarity about the roles of sponsorship, project delivery and end user. Meanwhile, capability for designing, delivering and integrating change and modernisation was also dispersed across LU.

## 2.3. Alignment with TfL design principles

The work we're doing in all of the LU workstreams adheres to the following TfL design principles:

- **Only do things we can afford:** proposals will achieve target cost reduction for all the layers in scope for this phase of change
- **Have clarity on who is accountable for what:** the new structure will have a single point of accountability for each function and asset. The functional grouping of assets by type across the organisation will also enable "line of sight" across all stages of the asset lifecycle
- **Avoid doing the same things in multiple places:** by adopting a functional model we'll bring activities undertaken across different SDUs and directorates together in one place
- **Only undertake activities that add value:** we've focused on the key activities that help our customers during the design of the new structure
- **Operate as a single team, leading across the organisation:** shared objectives and KPIs will bring teams closer together to deliver for our customers. LU will think as "one network" to deliver consistently excellent customer service across lines

## 2.4. Our vision for the future

The core priorities for our new operating model are to:



### 1. Create a customer-centric organisation

- Ensure that TfL's "every journey matters" ethos is embedded in operational delivery to the customer
- Achieve an increasing network focus in our customer service delivery
- Enable a focus on the **customer service lifecycle** from strategy through to continuous improvement

### 2. Deliver a sustainable cost base

- Streamline levels and spans of control, removing duplication and driving efficiencies.
- Align to the LU Business Plan and the major modernisation programmes
- Enable a focus on the **asset management lifecycle** underpinned by engineering expertise.

### 3. Drive day-to-day performance while delivering significant change

- Minimise complexity of interfaces between functions and clarify accountability for performance
- Ensure operational delivery is supported by professional services and effective governance
- Enable a focus on the **modernisation lifecycle** with clear ownership of sponsorship, project delivery and implementation

## 2.5. Our proposals

We announced our intention to create a single AO directorate in May 2017 and have now appointed the senior leadership team for the new structure.

The new organisation is designed on a set of design principles to meet TfL's strategic objectives. The new asset organisation is being established to bring together all the asset operational activities under a single asset organisation. Refer to the May 2017 business case for more details on scope and reorganisation of top layer of AO.

This next phase will enable the full integration of AP JNP teams by ensuring that they are aligned to our relevant asset area or to appropriate teams in Network Delivery.

## 2.6. Exclusions

- Frontline maintenance teams and some middle management roles are excluded from the redesign
- The Transplant function is out of scope for this organisational change. However, the longer-term plan is for this activity to become part of our R&E organisation
- Emergency Response Unit (ERU) and Asset Performance Control Centre (APCC) are out of scope of this business case. Our intention is that they will move into Network Operations (NO)
- Communications and Information (C&I) Stations and Signals is out of scope and is embedded in the new engineering organisation
- Senior management administration resources are out of scope of this business case
- Engineering staff from JNP organisation have transferred into LU and then, at a later date, the engineering staff among them will move into TfL Engineering



- Other interfacing organisations, Asset Strategy, TfL Engineering and R&E – with the exception of Lifts and Escalators (L&E) – are out of scope of this business case
- Operational Upgrades role for 4LM are out of scope to allow them to focus on the critical project delivery for operations and maintenance readiness





### 3. People change and employee involvement

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The proposals we've outlined in this business case represent a significant moment in our journey to modernise London Underground and make it more customer focused and affordable. If we're to make these proposals a reality, it's crucial that we bring our people on this journey with us. They're the ones who are going to bring our vision to life over the coming years and they are, without question, our most valuable asset.

Our strategic approach to employee engagement will be broadly the same as for the May phase, but we've taken lessons learnt from the first stage of modernisation to enhance our tactical delivery.

Communications will be leadership-led wherever possible, with a focus on two-way dialogue and giving our people a chance to feed back. We'll hold weekly consultation conference calls by workstream, including a Q&A, and follow these up with email summaries. The flow of information and updates through these channels will be supported and supplemented, where possible, by our leaders being visible and accessible – holding additional drop-in sessions and team huddles which provide further opportunities for two-way communications and engagement.

We'll have a dedicated SharePoint site which will be a 'one-stop shop' for FAQs, proposed org structures, job descriptions and consultation updates. We'll also provide managers with materials to enable better conversations with their teams. Our other communications channels will signpost our people back to the SharePoint sites and FAQs as the main information hub throughout the consultation process.

We'll continue using the Change Champion community who supported the earlier phase of consultation, and recruit more for a wider coverage of business areas. Their role will be to:

- Facilitate information sharing and communicate key messages
- Sign post staff to relevant resource for advice and guidance on policy
- Sign post staff to relevant TU reps with feedback on designs
- Assess and identify the impact of change
- Test the Ways of Working against proposed designs
- Communicate transformation processes and timeframes
- Provide feedback on how people are feeling and how messages are landing

From the May phase, we learned that we need to identify dedicated business leads in each area which is undergoing change, as they can help to drive and focus the change champions' activities and ensure they are supported locally.

This transformation is about more than just organisation design, and while our business leaders will continue to have overall responsibility for driving change within their functions, our change champions are fundamental in helping us improve the way we work.



## 4. Detailed Proposals

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### 4.1 Overview and Vision

Maintaining LU assets is critical to safely running the railway and for the safety of our employees and customers. Our ambition is to maintain our assets on time to maximise service availability and reliability for our customers.

To achieve our goal, we need to organise our resources and responsibilities effectively and efficiently. AO has grown organically with the LU network and the various phases of the PPP, and now needs to be reorganised to meet the demands of our growing network and London's population.

The key objective of the reorganisation is to achieve a fully integrated AO directorate, with a consistent, agile functional design and simpler interfaces with supporting functions. This will improve performance, allow effective leadership, provide clearer accountability and empower employees. It will also deliver target savings to LU's overall cost reduction efforts in response to external economic pressures and funding cuts.

Our proposal is to streamline activities across our asset groups, drawing clear boundaries between activities undertaken by AO teams and interfacing organisations, primarily Asset Strategy, TfL Engineering and R&E.

Our new organisation is supported by the principles that align all LU asset types for a clear line of sight across all stages of the asset lifecycle. We'll align our capabilities to avoid duplication and enable standardisation of processes and systems.

We've made the following assumptions to support our redesign of asset groups within AO:

- Optimising spans of control to improve our operational execution through faster decision making and improved communication
- Reducing and simplifying our organisation by moving towards seven layers all the way down to our frontline staff
- Providing a clear line of sight across all our asset groups and all stages of the asset lifecycle
- Consolidating our capabilities which provide common support to all asset groups including planning, materials, workshops, asset systems and readiness activities

### 4.2 Asset Operations context

Until September 2017, London Underground assets were maintained by asset teams under three SDUs. We used a different approach, systems, teams, maintenance regimes and ER arrangements in all our SDUs.

- JNP (an outsourced arrangement with Amey managing TubeLines staff for Jubilee, Northern, Piccadilly lines. Contract is expiring in December 2017 )
- BCV (Bakerloo, Central, Victoria) managed internally by LU
- SSL (Sub-Surface Lines) managed internally by LU

Asset maintenance entails managing the performance and safety of a multitude of our assets across the railway, including:



- *Fleet*: eight types of passenger rolling stock (619 trains) maintained across 14 depots
- *Track*: over 1,000km of plain line track, 500km of drainage, 985 points and crossings
- *Civils*: 16,000 bridges and structures, 350km of tunnels and 350km of earth structures
- *Signals*: 6,000 track circuits, 1,450 point machines and 420 signalling equipment rooms
- *Stations*: 268 stations, 423 escalators and 196 lifts
- *Power & Electrical*: 1,500km of HV cable and 230 sub-stations

We have a number of departments which are responsible for maintenance and minor renewals, but there is no clear demarcation with R&E in some parts of our organisation.

The SDU model allowed variation in the planning and execution of our core maintenance activities. JNP has embedded engineering, planning and project teams in many of its asset groups, while BCV and SSL have adopted a less embedded approach. The organisation is multi-layered, has multiple interfaces and built-in cost inefficiencies.

Given the scale of our funding challenge, it is no longer sustainable for us to replicate teams in three different SDUs and for similar assets to be maintained differently.

In our first phase of transformation in May 2017 we reviewed our senior management layer and redesigned a new asset organisation.

We combined our asset teams across the different SDUs under a single directorate, implementing a single point of accountability for AO and asset groups. We grouped all our asset activities to provide a clear demarcation between maintenance, delivery and modernisation. We also introduced common supporting functions to manage planning and asset systems to support all our asset groups.

The changes we've made were not just organisational but cultural. They have meant that we can share best practices and knowledge across our assets, and adopt TfL behaviours. We've introduced clearer interfaces and single points of contact with the broader organisation, at senior management level, to overcome our issues with inconsistent planning and whole asset lifecycle management.

Through this high level structure, we should decrease the risk of conflicting priorities and provide a single approach to engaging our stakeholders to deliver changes. We will drive reliability growth and continuous improvement, to optimise our performance, health, safety and environmental impact, and our cost.

Our next phase of transformation involves a detailed review of our next organisation layers, activities and interfaces, so we can design a proposal for each asset group and develop our deployment strategy. We identified the following issues as part of our detailed review:

- **Misalignment of skill sets and roles across different asset organisations:** we have an inconsistent asset operations model across our SDUs. Unlike our BCV and SSL organisations, JNP retains a PPP-style arrangement and is being overseen by Amey, with a structure which incorporates engineering and other non-asset responsibilities
- **Unclear demarcation between R&E and AO:** boundaries for simple and complex renewals workbanks are blurred between R&E and Asset Operations to a varying degree across our asset categories. Our project management approach and ownership of Direct



Labour Organisation (DLO) resources varies across AO and R&E, resulting in overlapping capabilities and business handover challenges

- **Multiple back office asset systems and processes; no standardisation:** we have multiple legacy maintenance systems (Ellipse, Maximo and associated reporting and mobile solutions) which ineffectively support different approaches to asset data handover, and document/record management. This constrains our organisational requirements around licensing, cost of change and infrastructure. We have an opportunity to rationalise and standardise our asset systems, processes, reporting and data to improve performance and contain cost. We also have the potential to automate asset loading and our registration process. For JNP, system training documentation resides within their asset systems and for BCV and SSL it resides on Ellipse and is maintained by T&D

### 4.3 Current organisational structure

In May 2017, we set out our intent and rolled out a high level design for new AO organisation. Our review of the next level of detail highlighted the following areas for reorganisation:

- Management is responsible for both day-to-day activities and project delivery
- Civils and Stations/Buildings maintenance activities are conducted by separate teams but are similar in nature
- Electrical is grouped with Stations but this creates dispersed accountability for power and electrical failures
- Large number of unpooled administration support resources are assigned to the senior management roles with varying levels of capability and responsibility
- A single Operational Upgrades team supporting operational readiness across asset areas and the network. No clear segregation and alignment of skills with asset groups
- L&E activities are conducted in the R&E Infrastructure Renewals team. Our review identified an opportunity to test the full ownership of renewals and enhancements under a single asset management function. L&E skill sets and contractual arrangements are strongly correlated and offer an opportunity to apply a more mature approach to maintenance and renewals. There were inefficiencies identified that could be streamlined by bringing them together
- Boundaries of activities between AO and R&E are unclear. Elements of Track and Signals renewal and enhancement activity are conducted in Asset Operations

Detailed as-is organisation charts can be found on sharepoint for reference.



## 4.4 Design principles

The principles we've outlined in the table below support TfL design principles and drive our new organisational design decisions and processes.

*Table 1: Specific principles for Asset Operations*

Asset Operations principle	We need our new organisational design to enable...
Simple Renewal Delivery	We should undertake the delivery of simple renewals (see below) in AO, with light touch project management support embedded from R&E.
Project DLO	We should manage project DLO resources within Asset Operations, preferably merged with maintenance DLO. R&E will utilise this DLO if available and we should only be contracting out if our DLO resource is not available.
Asset Alignment	We should align all functions in LU at a primary level by asset type, enabling clear lines of sight across all stages of the asset lifecycle within each function.
Standardised Resource Assignment	We should resource our asset functions based on value and complexity as defined in the asset plans produced by the Asset Strategy team. The Asset Strategy team is responsible for defining our workbank split between R&E and AO.
Centralised Resource Provision	We should assign our graduates, apprentices, engineering, planning and reporting centrally in the 'to-be' model.
L&E Merger	We should merge L&E across AO and R&E to enable an integrated asset management approach.

The way we allocate our projects between Asset Operations and R&E is based on the type of activity carried out, and by who is carrying out these activities. We identified the following categories:

- Maintenance includes inspection, planned preventative maintenance (PPM), corrective maintenance, and reactive maintenance
- Simple renewal includes low risk/low novelty work with no red line update or need for new design assurance
- Complex renewal includes the delivery of a renewal in a compressed timescale or a renewal of high complexity and/or value
- Enhancements include the complete replacement or significant uplift in capability

We propose that maintenance and simple renewal projects are delivered by AO and complex renewal and enhancements are delivered by R&E – excluding L&E as noted in the exclusions in section 2.

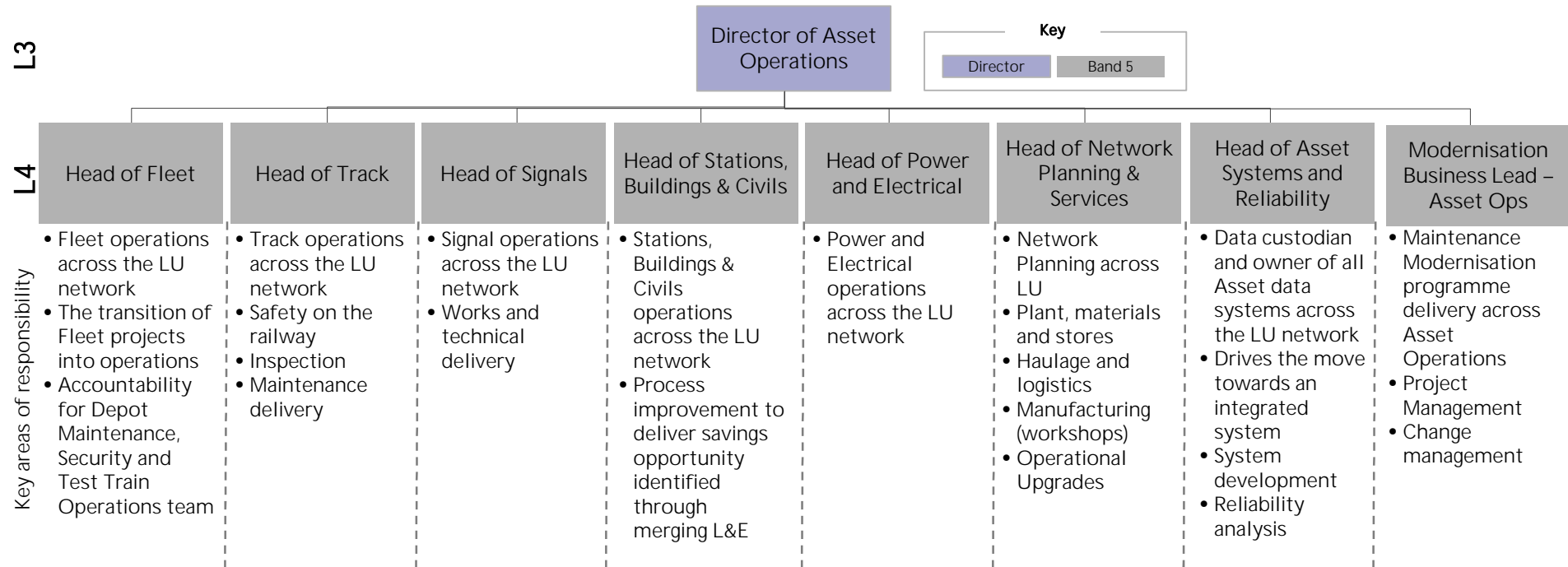


## 4.5 Proposed Asset Operations structure

This is now the new AO (maintenance) directorate organised around pan-LU asset categories, with its own direct reporting line to the MD LU & TFL Engineering. The Director of Asset Operations will develop and implement plans to drive the maintenance of LU's in-service assets to the required level of safety, reliability, availability and cost.

Senior managers will lead each asset grouping with a network-wide remit to drive safety, in-service performance and efficiency. They will be responsible for long-term and tactical asset maintenance planning and in-service reliability to meet Asset Strategy and technical parameters. They will be a single point of contact for the Head of Asset Strategy and Head of Profession (TfL Engineering).

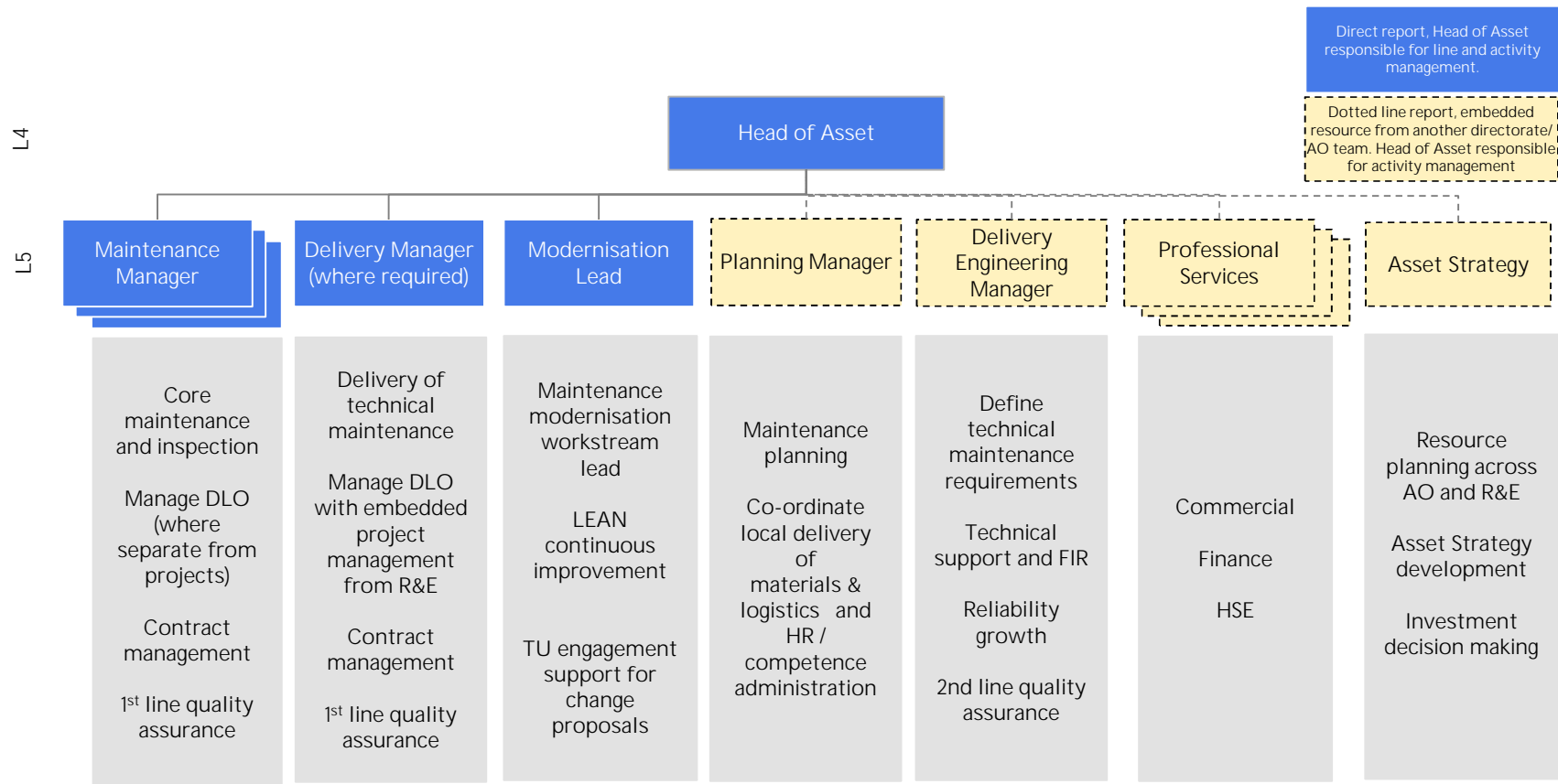
Figure 1: Current high level as-is (senior management level)



EVERY JOURNEY MATTERS

Our new organisation is built on a consistent, generic model, across asset groups, with clear responsibility for maintenance, technical/works delivery and modernisation. We've designed a matrix organisation with cross-functional accountability for efficient communication, enhanced productivity and performance. Our new structure will improve visibility across asset categories and introduce simpler interfaces with support functions. Our Head of Assets will manage embedded teams (including engineering and planning) to drive the best possible business outcomes.

Figure 2: Asset Operations generic layer 5 model



EVERY JOURNEY MATTERS



Asset Operations will interface with:

- **Asset Strategy** – responsible for defining whole life asset strategy, setting outcomes for performance and reliability growth, and making investment decisions
- **TfL Engineering** – responsible for defining the reliability growth plan based on outcomes provided by Asset Strategy. Providing technical input and having shared objectives to drive in-service reliability, safety and cost
- **R&E and Major Projects** – responsible for managing and delivering complex and large-scale investment programmes

## 4.6 Proposal

In this section, we outline our proposal for asset groups. Our new asset organisation will “own” the assets for maintenance and simple renewals, to help reduce issues around the handover of the asset back into the operational service.

All our frontline resources (DLO) will sit under AO allowing R&E to focus on best practice project management. AO will utilise project management capabilities from R&E and will facilitate the efficient use of DLO resources to support project delivery.

Any non-asset specific roles will move into respective support functions.

Our senior management administration resources are being dealt with under a separate workstream and are proposed to be organised centrally to enable more efficient resource allocation, removing inefficiencies and driving standardisation in administration support. Note – delivery of asset-specific operational administrative activities continues to be part of our asset group structure and not included in the standardised central administration support. The operational administration will be embedded in our respective asset groups but will report into Network Planning and Services. This applies across all our asset groups.

In the section below we outline key organisational changes to each specific asset group. The To Be organisational charts were produced before the proposed JDs were evaluated and final grades available. We will submit as an addendum a table of all the proposed new role titles and the applicable LU grades as well as a table with what the LU equivalents of TfL Bands are. It should be noted that all proposed LU appointments below Band 4 will be based on LU grades.

### 4.6.1 Fleet

Fleet will be responsible for managing maintenance and simple renewals of all LU fleets, within required specifications and technical standards complying with the Railway Safety Case and other Corporate Directives/Guidelines. It is also responsible for rolling stock depots, structures (including Test Train Operators), sites, assets and facilities satisfying company performance standards.

*Figure 3 : Fleet proposed organisation*





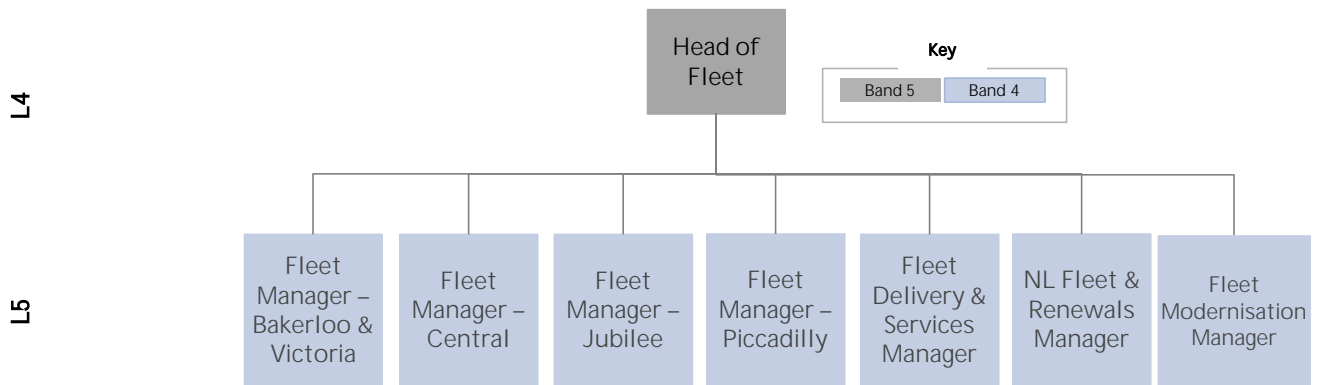


Table 2:

Fleet	Summary
Scope	<ul style="list-style-type: none"> <li>Layer 5 is in scope</li> <li>Layer 6 and 7 are out of scope but reporting lines will be aligned to the re-organised upper layers of the Fleet organisation</li> </ul>
Rationale for change	<ul style="list-style-type: none"> <li>Our intertwined maintenance and delivery structures create significant distraction for Fleet Managers in dealing with simple renewal activity</li> <li>May 2017 phase design proposed separation of S Stock Fleet (for reasons of capacity) but we've identified that this creates a potential duplication of approach</li> <li>No direct interface with R&amp;E and MPD. No end-to-end view of whole asset lifecycle cost</li> </ul>
Key changes	<ul style="list-style-type: none"> <li>Consolidation into a single Head of Fleet with oversight across the asset base</li> <li>Largely aligned to current set up but clearer demarcation between maintenance and project delivery, with one person accountability for facilitating delivery of simple renewals</li> <li>New role of Fleet Services &amp; Delivery Manager to enable a clear interface for introduction of renewed or upgraded fleets with the following responsibilities: <ul style="list-style-type: none"> <li>Test Train Operators (TTO) moved from TfL Engineering</li> <li>Depot Management Unit (DMU) moved from Stations</li> <li>Depot Infrastructure Security moved from Stations</li> <li>Power properties security moved from Power &amp; Electrical</li> </ul> </li> <li>More efficient Fleet Manager model through merging of S Stock-focused role; new NL Fleet &amp; Renewals Manager role to undertake responsibilities of Ambiece contract management, Strategy and MPD interface to complex renewals</li> <li>New Fleet Maintenance Modernisation role to adopt best-in-class delivery, innovation and continuous improvement</li> </ul>
Benefits	<ul style="list-style-type: none"> <li>Clear leadership across our fleet community to enable a better view of our whole life cost to ensure we balance our investment in heavy overhauls and upgrades</li> </ul>



	<ul style="list-style-type: none"> <li>• Drive integration of a new fleet and associated maintenance regime with our current fleets, which are in different stages of upgrade</li> <li>• Common interface between Fleet Manager and relevant stakeholders</li> <li>• Clear project DLO accountability - the Services Delivery Manager will own the project DLO and accountability for the management of rolling stock simple enhancements and renewals</li> <li>• Northern Line &amp; Renewals Manager will manage the relationship between the fleet managers and R&amp;E, while also holding accountability and delivery of NL Fleet services</li> <li>• Available interface with the relevant localised depot infrastructure under Services&amp;Delivery manager and Depot Maintenance Unit (DMU) support to operations, alongside an interface into R&amp;E and MPD</li> <li>• Fleet Manager interface across all areas in Customer Service and Line Operations</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>• Our organisational design will enable a common approach and merger of upgrades pipeline for current and S Stock fleet</li> </ul>
R&E boundaries	<ul style="list-style-type: none"> <li>• Jubilee Midlife Refurbishment team at Stratford remains part of R&amp;E Fleet Renewals, as it is staffed by non-permanent labour (NPL) rather than DLO labour</li> </ul>

#### 4.6.2 Track

Track will be responsible for routine inspection, preventative maintenance and simple renewals of our track assets. It will ensure our performance in a safe and reliable condition, in accordance with the Railway Safety Case and the Corporate Directives/Guidelines.

Figure 4 : Track proposed organisation

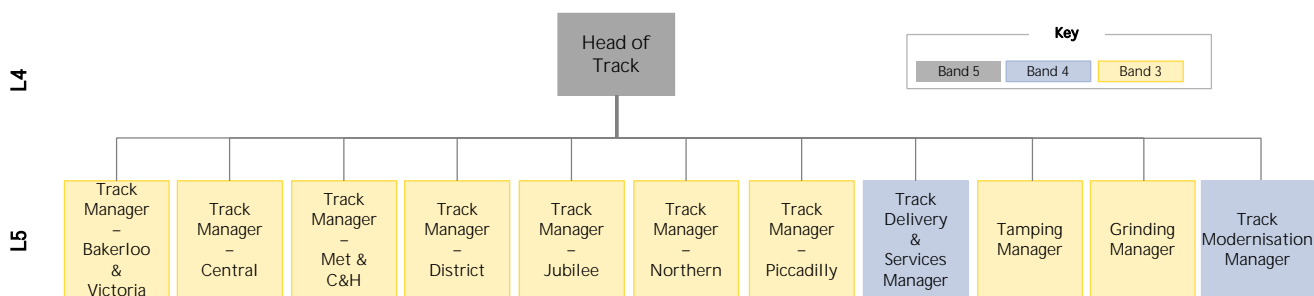


Table 3:

Tracks	Summary
Scope	<ul style="list-style-type: none"> <li>• Layer 5 is in scope</li> <li>• Layer 6 roles under the Track Delivery &amp; Services Manager are also in scope</li> <li>• Layer 7 is out of scope; however, reporting line will be aligned to changes in the upper layers in scope</li> </ul>



Rationale for change	<ul style="list-style-type: none"> <li>Dispersed ownership of track services and separate vegetation contracts</li> <li>Difference in layers and accountabilities in the current set-up</li> <li>Civils ownership is misaligned between AO and R&amp;E, with inspection skill sets more naturally aligned to Stations</li> </ul>
Key changes	<ul style="list-style-type: none"> <li>Civils ownership moved to Stations to better reflect skill sets and to ensure alignment with S&amp;ND and R&amp;E</li> <li>No fundamental change to the remit of the Track Manager, they remain accountable for the safety of the line through inspection and maintenance</li> <li>Clearer alignment of track services to leadership to enable efficient and consistent delivery</li> <li>Singular network approach to service provision, with Grinding and Tamping delivery reporting into Head of Track to reflect the scale of operation</li> <li>New Track Modernisation role to deliver best-in-class network approach</li> </ul>
Benefits	<ul style="list-style-type: none"> <li>Better capacity to take a view of the whole life costs of track assets and drive efficient maintenance practices</li> <li>Reorganisation of Track Delivery should achieve reduction in unit cost and improve utilisation of resources</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>Track licensing will be managed in local teams</li> <li>Design assumptions reflect a single inspection and delivery model</li> </ul>
R&E boundaries	<ul style="list-style-type: none"> <li>Track Delivery Unit (TDU) project management staff stays in R&amp;E</li> <li>TDU operational staff moves into AO</li> </ul>

#### 4.6.3 Signals

Signals will be responsible for maintenance and simple renewal through inspection of signalling assets and establishing safety arrangements to meet reliability and safety standards.

Figure 5 : Signals proposed organisation

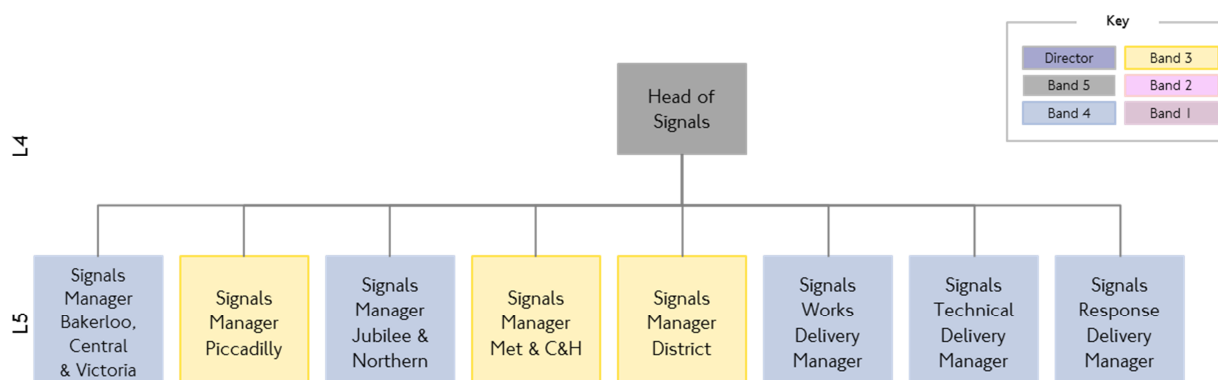


Table 4



EVERY JOURNEY MATTERS

Signals	Summary
Scope	<ul style="list-style-type: none"> <li>• Layer 5 is in scope</li> <li>• Layer 6 and 7 are out of scope; however, reporting lines will be aligned to changes in the upper layers in scope</li> </ul>
Rationale for change	<ul style="list-style-type: none"> <li>• Two different organisation models – difference in layers and accountabilities</li> <li>• Diverse signal asset base by technology (legacy fixed block, CBTC) and upgrade status (e.g. 4LM, DTUP); multiple dispersed signal teams</li> <li>• No single accountability for signals incident response – merged with incident response in Network Operations and some embedded within signal teams</li> <li>• Signals renewal activity carried out differently across R&amp;E and AP JNP</li> </ul>
Key changes	<ul style="list-style-type: none"> <li>• Consistent model for delivery of signals maintenance grouped by lines and systems</li> <li>• Single point of ownership for simple renewals project delivery, overseeing a combined DLO team</li> <li>• Dedicated signals response manager role bringing together all signals response resources while maintaining close alignment to Network Delivery team in real time</li> <li>• Single point of ownership for second and third line technical support</li> </ul>
Benefits	<ul style="list-style-type: none"> <li>• Better alignment of team to enable focus on specific signal technologies</li> <li>• Single point of accountability and single signal function – better focus on activities</li> <li>• Single signal response team for maintenance and renewals will improve performance and remove any duplication</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>• Organisational design focused around diverse signal technologies</li> <li>• Best capabilities from each areas to create a fit-for-purpose signalling organisation</li> </ul>
R&E boundaries	<ul style="list-style-type: none"> <li>• DLO management and operations for Signals Delivery Unit (SDU) is moving into AO Signals</li> <li>• Construction and project management for SDU stays in R&amp;E with the exception of Project Co-ordinator role which is moving into AO Signals</li> </ul>



#### 4.6.4 Stations, Buildings and Civils

Stations, Buildings and Civils will be responsible for maintenance and simple renewals in accordance with LU standards and Railways Safety Case. L&E will be part of this organisation to enable efficient and streamlined end-to-end responsibility for maintenance, simple and complex renewals.

Figure 6 : Stations, Buildings and Civils proposed organisation

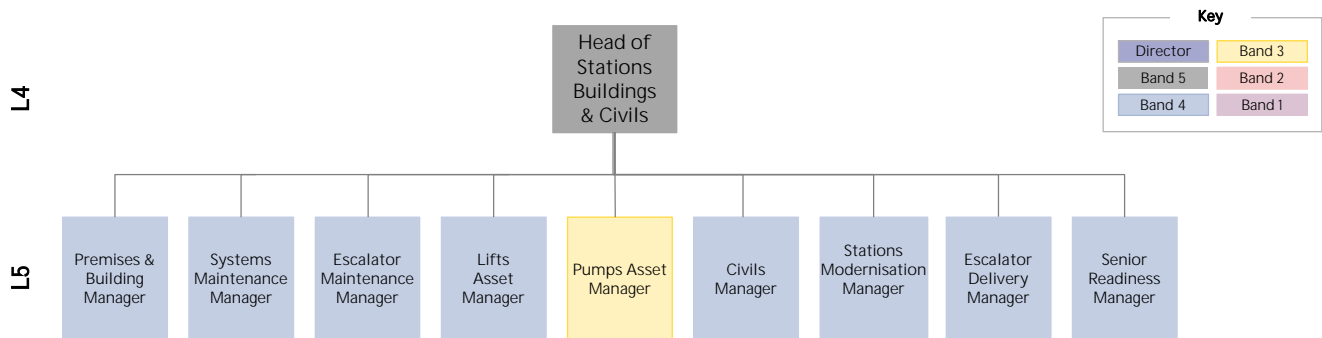


Table 5

Stations, Buildings , Civils	Summary
Scope	<ul style="list-style-type: none"> <li>Layer 5, layer 6 and layer 7 are in scope</li> </ul>
Rationale for change	<ul style="list-style-type: none"> <li>Stations maintenance and renewals activities dispersed across the business. Multiple management and maintenance groups looking after a single asset</li> <li>Multiple teams interfacing with projects and operational customers to enable asset introduction and resolution of faults</li> <li>L&amp;E simple and complex renewals managed separately in R&amp;E but working with the same supplier base as AO</li> <li>Separate Operational Upgrades team (for stations and network planning) doing readiness activities remotely from the affected asset teams</li> </ul>
Key changes	<ul style="list-style-type: none"> <li>Single line of accountability and responsibility by stations asset types</li> <li>Transition of Civils (from Track) to Stations enabling better alignment with R&amp;E and S&amp;ND</li> <li>Transition of L&amp;E simple and complex renewals from R&amp;E to AO overseen by a single Asset Manager</li> <li>Stations readiness activities (in Operational Upgrade team) reviewed and realigned within Stations maintenance organisation to give a total lifecycle approach from design to maintenance</li> <li>Establishment of a fully integrated interface team to lead liaison with Customer Operations and key station projects</li> <li>Accountability for all operational buildings (including power properties) maintenance and security.</li> </ul>
Benefits	<ul style="list-style-type: none"> <li>Delaying and economies of scale through merging multiple</li> </ul>



	<p>stations maintenance groups</p> <ul style="list-style-type: none"> <li>• Single asset group allowing unified focus from design to maintenance of critical related assets</li> <li>• Minimising interfaces with Customer Service and Line Operations as all stations/building assets are under one Head of Asset</li> <li>• Capability to drive process improvement and ways of working to deliver target savings opportunity identified through merging L&amp;E</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>• Moving L&amp;E into stations will mature renewals and maintenance delivery capabilities and improve sign-off, contract agreement and handover</li> </ul>
R&E boundaries	<ul style="list-style-type: none"> <li>• Moved L&amp;E from Infrastructure Renewals team in R&amp;E into Stations</li> </ul>

#### 4.6.5 Power and Electrical

Power and Electrical will be responsible for the maintenance and renewal of Power and Electrical assets, ensuring that they perform in a safe and reliable condition in accordance with the Railway Safety Case and Corporate Directives.

Figure 7: Power and Electrical proposed organisation

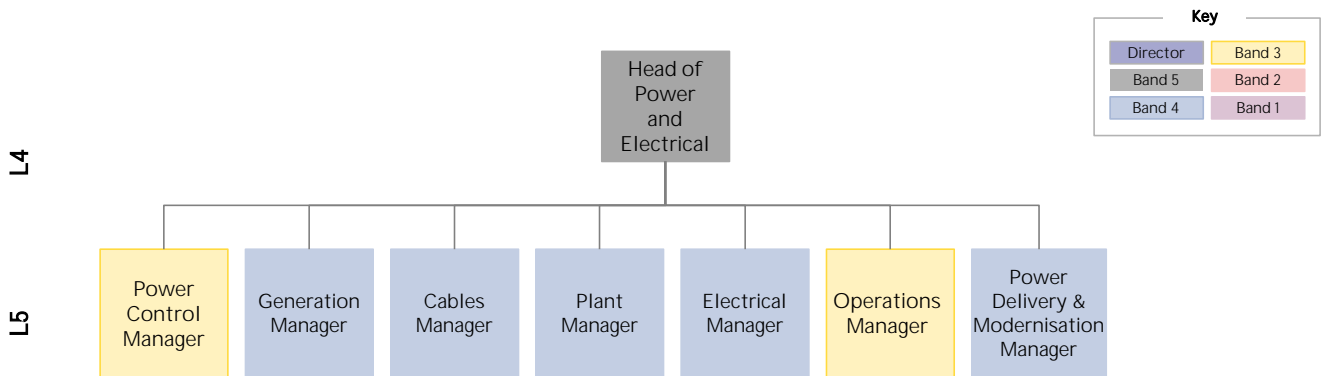


Table 6

Power and Electrical	Summary
Scope	<ul style="list-style-type: none"> <li>• Layer 5 is in scope</li> <li>• Layer 6 and 7 are out of scope; however, reporting lines will be aligned to changes in the upper layers in scope</li> </ul>
Rationale for change	<ul style="list-style-type: none"> <li>• Power and Electrical maintenance activities dispersed across our organisation, which hinders end-to-end ownership of performance issues</li> <li>• Generic capabilities/functions (e.g. performance reporting, planning ,training) are embedded in Power asset organisation</li> <li>• Electrical is embedded in Stations and no single point of</li> </ul>



	contact for related responsibilities
Key changes	<ul style="list-style-type: none"> <li>• Consolidation of all Power and Electrical activities into one department as related capabilities</li> <li>• Reallocation of generic capabilities that are not Power specific in central functions</li> <li>• Moving to the functional structure – single point of contact and clearer focus on key sub-assets</li> <li>• Cable teams merged to bring similar skill sets under single Cables Manager</li> <li>• All electrical capabilities brought under Electrical Manager role including Uninterrupted Power Supply (UPS)</li> <li>• New Operations Manager role to have better access to Plant and support renewals</li> <li>• New Maintenance Modernisation role to implement best in class delivery and consistent maintenance practices</li> <li>• Security of Power properties will move to into Fleet, while Power Properties will move into Stations, Building and Civils</li> </ul>
Benefits	<ul style="list-style-type: none"> <li>• Single accountability for power and electrical failures</li> <li>• Single set of safety rules to avoid inconsistent compliance across our organisation</li> <li>• Asset base alignment to enable efficiencies in ways of working</li> <li>• Enhanced capabilities to make it best placed to deliver simple renewals</li> <li>• Non-core capabilities (such as training and planning) moved to support functions – opportunity to tap into subject matter expertise</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>• Non-core capabilities will be moved to our asset group support functions to centralise expertise</li> </ul>
R&E boundaries	<ul style="list-style-type: none"> <li>• Generic implementation of design principles. No specific boundary changes</li> </ul>



### 4.6.6 Network Planning and Services

Network Planning & Services (NP&S) will work with the Heads of Assets and the broader organisation to plan a long-term and medium-term strategy for our asset groups. It will also be responsible for delivering effective planning of resources, workbanks and materials for maintenance delivery across all LU assets.

Figure 8: Network Planning & Services proposed organisation

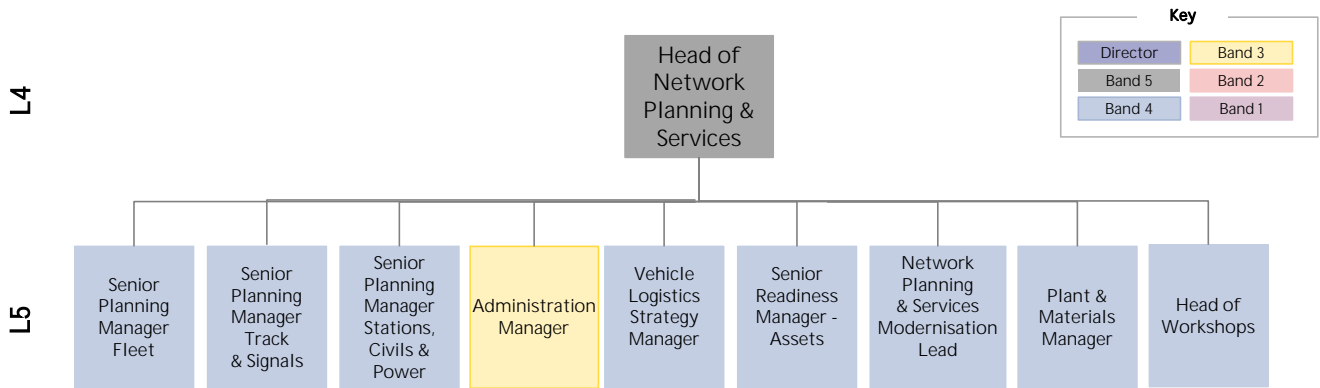


Table 7

NP&S	Summary
Scope	<ul style="list-style-type: none"> <li>Layers 5, 6 and 7 are in scope, except operational roles in workshops and stores</li> </ul>
Rationale for change	<ul style="list-style-type: none"> <li>Ownership of planning, materials and logistics activities dispersed</li> <li>Workshops managed separately</li> <li>Administration support for all asset teams scattered across SDUs</li> <li>Operational Upgrades team doing readiness activities for diverse parts of the organisation are dispersed and its skill sets are not aligned</li> </ul>
Key changes	<ul style="list-style-type: none"> <li>Centralisation and standardisation of all planning, materials and logistics activity</li> <li>Central focus for administrative support to provide consistent model and opportunities for professional development</li> <li>Integration and consolidation of workshop management functions</li> <li>Develop quality assurance capabilities</li> <li>Skills are realigned and upgrade readiness teams moved to their respective areas – in our asset organisation these roles are in Stations and NP&amp;S. The remainder are in Network Operations. 4LM operational upgrade team is out of scope</li> </ul>
Benefits	<ul style="list-style-type: none"> <li>End-to-end efficient planning, consistent processes and handover for AO</li> <li>Clear accountability and alignment of planning with asset groups to standardise approach</li> </ul>





	<ul style="list-style-type: none"> <li>Remove duplication by centralising planning function for all asset groups</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>Central support model for all asset groups will standardise planning approach and provide better visibility of plans across asset groups</li> </ul>
R&E boundaries	<ul style="list-style-type: none"> <li>Access capability for AO will be provided by R&amp;E</li> <li>Materials, planning, access and scheduling for L&amp;E renewals will be provided by R&amp;E, unless embedded in the L&amp;E organisation</li> </ul>

#### 4.6.7 Asset Systems and Reliability

The Asset Systems & Reliability (AS&R) function will be responsible for managing and maintaining asset management systems to enable compliant maintenance delivery, drive root-cause analysis and reliability growth. It will prioritise and deploy resources across the assets and build a strong interface with TfL Engineering, drive innovation and integrate LU's complex asset management systems. The AS&R function is designed to strengthen our focus on the future integration of Maximo and Ellipse, improve project data handover and drive systems improvements across AO and Network Operations. This function will drive a robust and consistent Fault Reporting and Corrective Action System (FRACAS) process across the asset base, in close collaboration with TfL Engineering and the Heads of Assets.

Figure 9: Asset Systems and Reliability proposed organisation

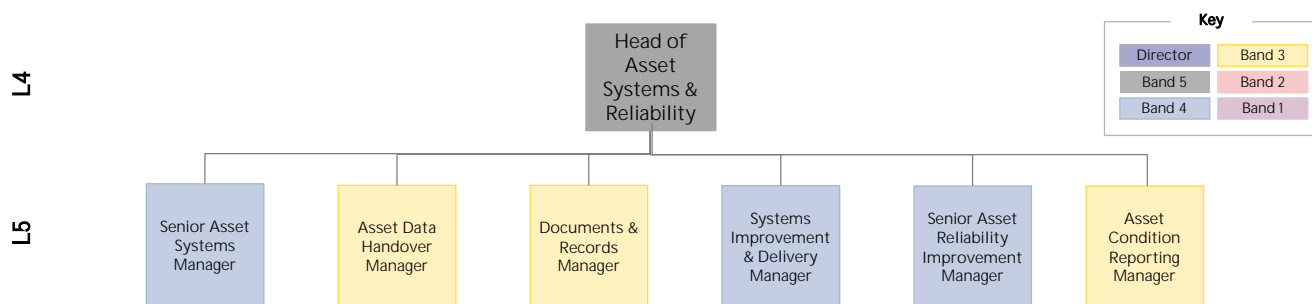


Table 8

AS & R	Summary
Scope	<ul style="list-style-type: none"> <li>Layer 5, Layer 6 and Layer 7 are in scope including operational mobile staff</li> </ul>
Rationale for change	<ul style="list-style-type: none"> <li>Asset management systems managed separately with inconsistent processes and multiple approaches to document management and reporting</li> <li>Bringing together two organisation models that cover systems and reliability to remove duplication across asset groups</li> <li>Optimise service provision by standardising approach and enabling continuous improvement</li> </ul>
Key changes	<ul style="list-style-type: none"> <li>Single business owner for asset management systems (e.g. Ellipse, Maximo) to ensure consistent and accurate data quality</li> <li>Clearly defined accountabilities and responsibilities for all</li> </ul>



	<p>aspects of asset systems management and development, including single point of contact by asset group (irrespective of system)</p> <ul style="list-style-type: none"> <li>• Refocusing of roles to cater for the management of our multiple asset systems within the same integrated organisation</li> <li>• Enhanced focus on data handover from projects within AO as well as MPD and R&amp;E</li> <li>• Clear point of interface for TfL Technology &amp; Data (T&amp;D) or third party suppliers to ensure resilient support and development for systems</li> <li>• Standard application of system improvement role(s) to lead systems improvements, irrespective of asset system. Standard and consistent implementation of supporting processes and methodologies, including the management of a single systems improvements portfolio</li> <li>• Expertise in asset data analysis and governance of consistent FRACAS process led by single owner/Asset Reliability Improvement Manager</li> <li>• Asset Condition Reporting (ACR) Manager accountable for the ACR process, ensuring delivery of required activities by each asset group</li> </ul>
Benefits	<ul style="list-style-type: none"> <li>• Integrated team with clearly defined accountabilities and responsibilities, and removal of any duplication of activities</li> <li>• Increased agility to react to business requirements through implementation of single points of contact with key stakeholders</li> <li>• A broader delivery capability, standard and consistent processes/methodologies and a closer, more effective interface between AO, other stakeholders and AS&amp;R</li> <li>• Improved service delivery by standardising the best of our legacy working practices</li> <li>• Improved business continuity through integration of similar roles</li> <li>• Efficient use of resources and budget through control and assurance over all aspects of their management. Development of systems and technology to support the requirements of stakeholders, including clear lines of accountabilities with T&amp;D.</li> <li>• Delivery of a consistent approach to document and records management</li> <li>• Alignment and implementation of best practice in asset reliability analysis across multiple systems</li> <li>• Drive the use of reliability data to support more effective asset performance decision making</li> <li>• Delivery of a standard, consistent and repeatable FRACAS process across the AO business, with clearly defined roles and accountabilities</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>• Emphasis on improving current systems Ellipse and Maximo and ensuring that they are supported by consistent processes</li> </ul>



	<ul style="list-style-type: none"> <li>• Rationalising our systems is out of scope in the medium term</li> <li>• FRACAS will be carried out in respective asset groups but AS&amp;R to ensure it is delivered consistently</li> <li>• Delivery of Asset Condition Reporting(ACR) process in line with agreed processes and roles</li> <li>• AS&amp;R retains responsibility for delivering system improvements for AO and Network Operations stakeholders</li> <li>• Document control activities reside within asset groups; AS&amp;R provides overarching control of the document management systems</li> </ul>
R&E boundaries	<ul style="list-style-type: none"> <li>• Complete L&amp;E team is moving from R&amp;E into AO Stations - systems for managing complex renewals for L&amp;E remains unchanged.</li> </ul>



## 4.7 Key advantages and non-financial benefits

### Consistent design principles and delivery model

Our proposed structure breaks asset silos across the operational organisation and provides a simpler interface with Asset Strategy, TfL Engineering and R&E. We have applied common design principles to asset classes for a single point of accountability, which will reduce duplication, drive swift business decisions while enabling continuous business improvement and create a more consistent way of working.

Our new organisation creates a clear line of accountability, while drawing boundaries for core maintenance, project and technical delivery responsibilities, so as to enable local ownership and an effective delivery platform.

### Fewer organisational layers

Our proposed structure is agile and will support the creation of a future organisation with manageable spans of control in our larger asset bases, e.g. Fleet, Track. Fewer organisational layers will improve the speed of our decision making and empower our staff.

### Enhanced senior management capacity

The appointment of a dedicated, senior business lead reporting into the Head of Assets in key asset bases will ensure that we can effectively scope, design and deliver efficiencies to achieve our Business Plan financial targets and transform our maintenance practices. This new role will allow our Heads of Assets to focus on delivering in-service performance without distraction, while ensuring strong engagement with the change agenda.

Adopt best practice from JNP and fully integrate JNP into our new organisation  
We've developed our proposed embedded model to reflect key learnings from the approach adopted by AP JNP to drive asset performance.

We propose to embed engineers focused on technical support (on-the-ground assistance to maintenance teams) and reliability growth (expert analysis and technical solutions to drive the reliability growth plan) in each of our asset groupings, under the leadership of the respective Head of Asset. This creates a one-team approach in each asset grouping and ensures that adequate resources are available when required.

L&E maintenance and simple renewal responsibilities merged into AO organisation  
This enables a single responsible asset manager for all L&E across LU. Merging of maintenance and renewals reduces potential issues with the handover of our asset back into operational service.

### **Ensures key support functions are part of the directorate**

Our design has identified the need for two functions which provide resources and support across all our asset bases.

AS&R provides strong custodianship of our asset management systems (e.g. Ellipse and Maximo). Effectively configured and managed, these systems enable compliant maintenance delivery, root cause analysis and reliability growth based on better Management Information (MI). This team is also an enabler for the modernisation of our maintenance practices by ensuring a consistent approach to managing asset systems and data analytics. The new Heads of Asset roles will also make KPIs clearer, since performance can be measured across the network.



NP&S is accountable for driving the effective planning of maintenance delivery across all our LU assets. The function will work closely with the Heads of Asset, as well as Asset Strategy, MPD and R&E, to ensure we optimise our workshop capacity, materials management, logistics, resources and workbanks, enabling the delivery of the asset maintenance plan from a whole life perspective.

*Operational Upgrades:* we've carefully reviewed and realigned our existing teams to achieve an optimal alignment of project interface and close interaction with our Stations asset teams and Network Operations teams.

### **Non-Financial Benefits**

While saving money is important – and something we have to do to be better for London – the changes we're proposing will also make our organisation a simpler, better place to work. As a result, our people will feel more empowered and have clearer accountabilities.

Subsequently, the changes will support and enable financial and non-financial benefits. However, simply changing the structure won't achieve the benefits we're aiming for.

This is a unique opportunity to fundamentally change the way we work, prepare us for the future and make us an even more successful business.

Over the last few months – and in parallel with the design of our new structure – key stakeholders have been working to identify and prioritise a number of benefits. They also established a number of risks associated with the proposals.



Figure 10: measurement of the benefits and disbenefits of deploying our new asset organisation

	Benefit	Measures
BENEFITS	1 Optimise performance, safety and cost across asset lifecycle	• Reduced whole life cost (asset specific)
	2 Timely and better quality decision making	• Reduced number of change controls (people) involved in the handover
	3 Improved reliability and asset performance	• Reduced LCH (asset specific)
	4 Streamlined process, reduced duplication and less waste	• Reduced no. of duplicated processes, decreased no. of touch points/ interfaces
	5 More accurate and reliable planning of maintenance delivery	• Reduced no. of last minute (to be defined) changes to milestones
	6 More innovative ideas resulting in improved productivity and cost reduction	• Increased no. of successful innovations implemented

## TfL scorecard and priorities aligned to benefits

We mapped the following benefits to our LU priorities to help us to prioritise them and maintain our focus.

### Our priorities



1. **Safety and reliability:** become an even safer and more reliable railway. This is about getting everyone home safe and healthy every day, and halting the decline in reliability that we've recently seen.
2. **Customer service:** be better for our customers, every day. Being visible and vigilant for our customers, improving access to our network and tackling station pinch-points.
3. **Affordability:** balance the budget and do more for less. Being more efficient, every day, and doing more for less.



4. **People:** empower our people and make LU a better place to work. Engaging our people and working better together, a workforce that's truly representative of our amazingly diverse city.

### Being better

To make sure we do this the right way, we're working with our people, listening to their ideas and feedback on how we can be better. To clearly define accountabilities in the new structure, these benefits will be incorporated into our transition plans following the close of consultation and final designs being approved.

Going forward, we'll report on our benefits with the intention of encouraging the right behaviours. We are yet to determine how frequently we will select and report on our key metrics, but, where possible, we will link them to our scorecards and cascade them to our employees.

## 4.8 Interfaces

Key interfaces for AO include:

- LU Managing Director and LU Board: ensuring our alignment to strategic direction and priorities
- LU S&ND: developing our business plan and defining our whole life asset strategy
- TfL Engineering: technical assurance and aligning our objectives to drive in-service reliability, safety and cost
- R&E and MPD: aligning our DLO and project management model and sharing capabilities, while maintaining a clear demarcation of our activities
- TfL HR: supporting effective people leadership and management of key processes
- Commercial /Finance /T&D: ensuring effective commercial, financial and systems support to deliver our objectives
- TfL Health, Safety and Environment (HSE) and the Office of Rail Regulation (ORR): ensuring our compliance with safety and legislative requirements, and our trade union obligations
- **Suppliers:** lead the process of selecting and procuring our third party services

## 4.9 Testing the proposals

We've completed high level testing of our organisational designs to ensure they align with our design principles, support LU and TfL strategy, and are adequately resourced to help us deliver a safe, reliable and effective service.

Once consultation is underway, we'll engage with those affected by our proposals. We'll work with our trades unions and employees to assess the impact of our proposals on day-to-day activities to ensure we realise our planned benefits.

## 4.10 Discounted options

1. Do nothing





The current AO organisation is an interim arrangement, with the reorganised top senior management layer using our new design principles. Doing nothing constitutes reverting to the old AO organisation in SDUs, which implies dispersed asset teams, diverse processes and complex interfaces, which are not compliant with our TfL design principles and fail to achieve our strategic objectives.

Moreover, the Amey JNP contract is expiring in December 2017 and transfer of ownership is inevitable. Doing nothing is not an option as it doesn't create a platform to deliver our Business Plan and results in sunk cost of our transformation activities.

## 2. Maintain current arrangement for utilising frontline resources (DLO model)

We discounted this option of multiple models of DLO (maintenance, project and merged) across asset categories and R&E, because it creates inefficiencies and delays in delivering outcomes within our target timeframes. We made the decision to bring all our frontline resources in to one place under AO.

## 3. We discounted the following options for specific asset groups:

- **Stations: keep L&E organisation in R&E**

Currently Lifts and Escalators are two standalone teams in R&E, with similar capabilities doing all activities including maintenance, and simple and complex renewals across LU. Doing nothing conflicted with our design principles to bring maintenance activities under AO and forwent the opportunity to bring similar skill sets, inspection teams and contractual arrangements under our Stations asset operation

- **NP&S: leave Operational Upgrades team as is**

Our Operational Upgrade teams have inconsistent skills, although their titles are similar. After we undertook a deep dive review, it became evident that their skills were misaligned with our business requirements. Doing nothing would result in us missing an opportunity to align the right skill sets with the right teams. We made the decision to propose splitting our Operational Upgrade teams across Network Operations and AO, and to align them with specific asset groups based on their specific capabilities

## 5. Transition, embedding and integration planning

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We've now implemented our first phase of modernising London Underground, with the introduction of our new, functional operating model and senior management appointments. Now our leadership team have started in their new roles, they will be responsible for leading consultation and transition for the next phase.

We'll adopt the same transitional approach and activities we used for the first phase. As well as identifying new risks and actions for this phase, we'll continue to embed the changes and our new ways of working.

Once the organisational design is agreed in consultation, we'll reinstate the 'Operational Readiness Working Group', which will be chaired by the Business Lead, and attended by SMEs and Change Champions.

This group will lead the mitigation of risks which are critical to the successful launch of this phase. We'll develop a plan to monitor progress and review it on a weekly basis with the working group. Our plan will explain how we'll move from the current structure, through any interim arrangements, to business as usual once consultation is complete.





This plan will evolve through the consultation process as we listen to our employees' feedback.

We'll engage with other workstreams going through transformation to make sure our timings are aligned, interfaces are clear and understood, and our dependencies are identified and managed.

## 5.1 Safety

We're developing a robust Change Assurance Plan (CAP) to make sure safety remains a priority and we maintain our performance standards. We've worked with key stakeholders from the business to identify HSE risks and mitigating activities, for any interim period during transition, and once our new structure is live. We'll regularly review and update this process throughout this period of change.

Our next step will be to translate the mitigating activities into a trackable plan, with clear, accountable owners identified. We'll develop and update our plan throughout the consultation process, based on our employees' feedback.

We'll continue to feed these plans into our main transition plan to make sure we're monitoring our progress against each action. We're also reviewing the option of additional safety assurance, to more closely monitor safety during this phase of change.



## 6. Our employees – how we will approach this change

Our proposed approach to this organisational change will enable us to recruit the right people to the right roles in order to achieve the level of business transformation we require. Each functional area will apply the LU Organisational Change Policy (OCP) to achieve the required business change. This will mean, in practice, that we've no one-size-fits-all approach as business needs will differ. We propose that all our workstreams will adhere to the following principles:

- Employees that do similar work and have similar skills, knowledge and experience will be pooled together
- We'll carry out an assessment and selection exercise for new roles in the new structures to ensure that everyone in a pool has an equal opportunity to be considered for the revised roles
- Where posts are substantially unchanged and the number of posts is the same (or increased) existing employees will be mapped
- Measures will be taken to mitigate any compulsory redundancy, e.g. where there are new roles and nobody is identified to fill them. From a pooling perspective, we'll openly advertise these roles as additional opportunities at the start of the process
- We will not offer Voluntary Severance (VS) upfront to pools, unless there is sound business rationale for doing so. Our key objective will be retaining the right people to undertake the new roles in our organisation

We have set out further details below.

### 6.1. Pooling

We've identified the following proposed pools following extensive discussion and consideration with our Directors and HR. Our aim is to mitigate redundancies and provide as many opportunities for our employees as possible to secure roles within our revised structure. We have also set out our proposed process for filling roles in the new structure.

Detailed pooling is included in the appendix

### 6.2. Voluntary Severance

We don't propose to offer Voluntary Severance (VS) upfront to everyone in scope as we need to ensure we retain the right knowledge, skills and experience required for the future.

VS will remain available as a measure to mitigate any compulsory redundancy following assessment and selection (see below).

We only propose to offer VS upfront where it helps us to achieve the proposed reduction in headcount without risking the loss of the knowledge, skills and experience we require for the future. It will therefore be the exception rather than the norm. We want to carefully manage our peoples' expectations with regards the opportunity to leave the organisation on VS at the start of this reorganisation. Where VS upfront is offered we'll make it clear what selection criteria will be applied to enable people to make an informed



decision as to whether to apply or not. These will include retaining capabilities and skills which are required by the business area or wider organisation.

Where VS upfront is offered, the following principles will be adhered to:

- The number of leavers will be capped in line with the recommended reduction in headcount
- If there are sufficient leavers to place no further employees 'at risk', any subsequent assessment and selection will only be for the purposes of placing employees in role, no further employees will be offered severance

### 6.3. Mitigating Redundancy

We propose the following measures to mitigate any compulsory redundancy as sequenced below:

1. Consider Flexible Working Requests (FWR) as part of the process where employees identify their expression of interest in roles. Employees will be asked to outline their interest in changes to working arrangements for the new role. This could include any of the following:
  - a. Contractual amendments: job share, part-time working. Contractual amendments can be identified at an early stage, and then mapped across the detailed organisational design for a functional area to establish if there is a match between what an employee has requested against the needs of the business. Requests for amendments to working arrangements are subject to business needs.
  - b. Temporary initiatives: identify those interested in a career break, and if so, the duration. This provides future opportunities for employees to return to TfL, and, through turnover, secure a suitable alternative position.
2. Suitable Alternative Employment (SAE): we'll proactively work with HR (Redeployment) to identify where there are vacancies or roles covered by NPL across TfL to support employees who are displaced following assessment and selection.
3. Protection of earnings: as per the LU OCP, for any staff who are displaced into SAE.
4. Post assessment and selection VS: We'll deal with this in accordance with the LU OCP.

### 6.4. Equality Impact Assessments

We've carried out an Equality Impact Assessments (EqIA) to identify any potential impacts of the proposed change. We'll monitor and update the document on a regular basis throughout the proposed change. We'll also put a number of measures in place to minimise the risk of a negative impact on representation of specific groups within LU.



During this process we will:

- Provide training on selection and assessment and unconscious bias to hiring managers to ensure outcomes are fair and consistent, and the decision making process is transparent
- Seek, where possible, to have interview panels that are diverse.
- Ensure that hiring managers have visibility of the EQIA and that it is updated throughout the process
- Ensure job titles and job descriptions use gender neutral language
- Analyse if there is a diversity bias in who applies for each role
- Track the diversity trends of the number of people with protected characteristics appointed by team and by grade/band, where the data enables this
- Ensure that an understanding of diversity and inclusion forms a key part of our selection process (particularly for those in leadership positions)
- Provide weekly updates on the change process, including highlighting any specific additional support for all staff, particularly those who are under represented
- Develop and deliver a plan to promptly cascade key messages and activities
- Deliver a dedicated section on our SharePoint site containing up-to-date information and to signpost further support for all staff but particularly for those from under - represented groups
- Regularly update FAQs, particularly those of significance to Diversity & Inclusion
- Ensure that those who are on maternity or parental leave, or any other type of long-term absence, are captured as part of the communications and engagement plan
- Declare direct appointment statistics

A detailed EqIA for AO is available as a stand-alone document.



## 7. Financial analysis

### Context

For all Transformation savings, the 2015/16 actual spend has been taken as the baseline against which savings are measured. This business case therefore compares the costs of the proposed new organisation structure against the actual 2015/16 spend

### Overall Impact

The estimated benefits associated from the proposed organisational change are an estimate based on proposed headcount reductions using an average value per employee provided by the Central Transformation team. In the first year, estimated implementation costs will offset the benefits arising from proposed headcount reductions as shown below:

	2017/18	2018/19	2019/20	2020/21	2021/22	Total
Total Financial Benefits (£m)	-	6.8	6.8	6.8	6.8	27.2
Total Estimated Severance Costs** (£m)	(11.9)	-	-	-	-	(11.9)
Total Workstream Delivery Costs (£m)	(0.3)	-	-	-	-	(0.3)
Net Financial Benefits (£m)	(12.2)	6.8	6.8	6.8	6.8	15.0

\* Estimated severance costs should be calculated based on the average severance calculations provided by the Central team

\*\* Workstream delivery costs should take into account all non-severance expenditure associated with designing and 'standing up' the new structure. This should include: design support from external consultants; selection and assessment costs; costs for staff seconded to the workstream.

### Analysis of financial benefits

The proposed end state following organisational change has 94 fewer FTE. Overhead costs (such as FSC, HRS, legal, insurance, property and facilities costs) attributed to each employee are not included.

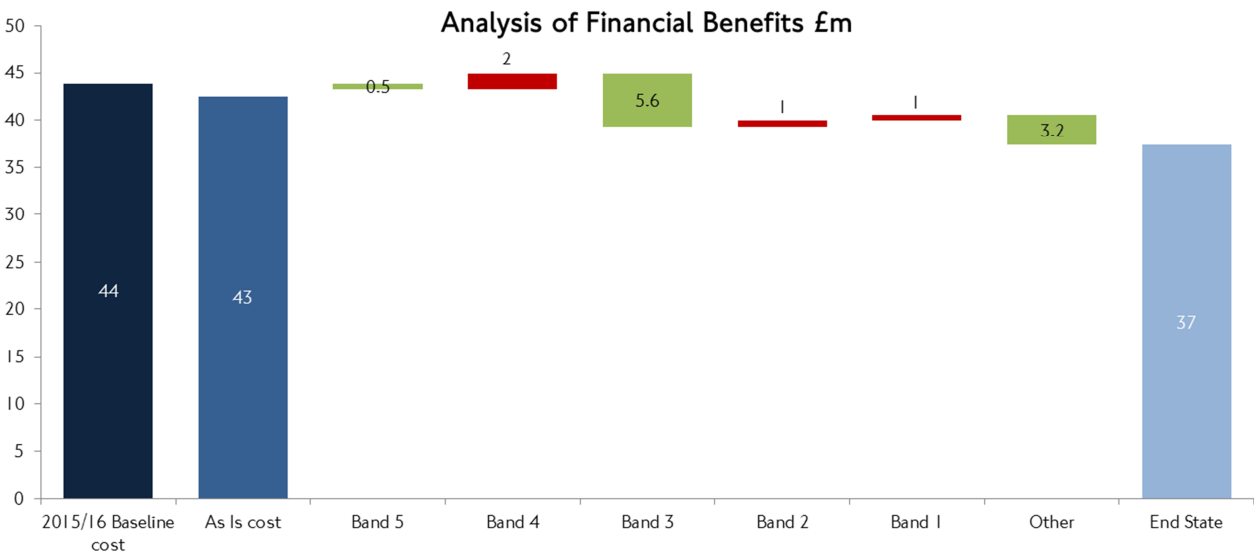
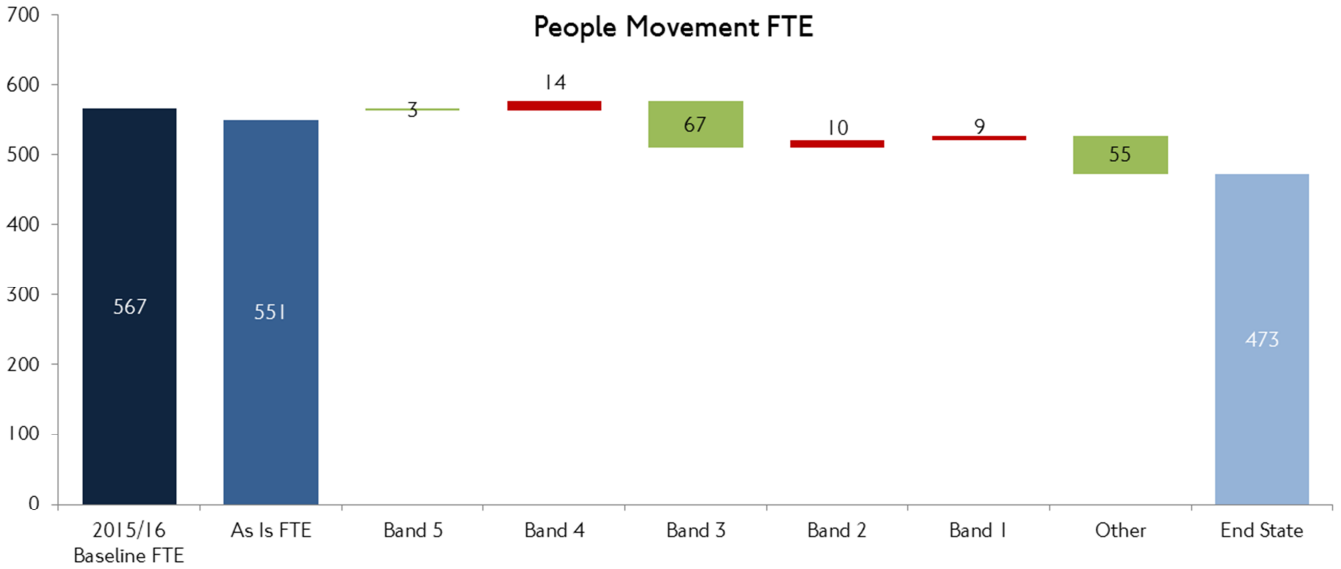
Band	Positions					Expenditure* (£m)				
	Baseline	Current	Future	Baseline to future mvt.	Baseline to future mvt (%)	Baseline	Current	Future	Baseline to future mvt.	Baseline to future mvt (%)
Dirr	2	1	1	(1)	-50%	0.4	0.2	0.2	(0.2)	-50%
Band5	10	6	7	(3)	-31%	1.6	0.9	1.1	(0.5)	-31%
Band4	26	28	40	14	54%	2.9	3.1	4.5	1.6	54%
Band3	263	267	196	(67)	-26%	22.1	22.4	16.4	(5.6)	-26%
Band2	139	135	149	10	7%	9.4	9.2	10.1	0.7	7%
Band1	71	113	80	9	12%	4.2	6.6	4.7	0.5	12%
Other	55	1	-	(55)	-100%	3.2	0.1	0.0	(3.2)	-100%
Total	567	551	473	(94)	-17%	43.8	42.5	37.0	(6.8)	-16%



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Total workstream savings of £6.8m includes savings from May consultation.

- NPL are included in the FTE and financial tables, but not in the pooling tables and this will result in small discrepancies between the totals.
- Senior management administration numbers are included in the FTE and financial tables, but not in the pooling tables as they are being consulted on separately. Please refer to senior management admin business cases
- The financial tables are based on FTE, and the pooling tables use headcount. This will result in small discrepancies between the totals.



## Other Internal Spend

No change

## External Spend / Contract Savings

Transformation support from Deloitte has been introduced to help drive the design and delivery of the new operating model.

## Increased Revenue

No change

## 8. Risks

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As mentioned, we have identified our risks. We've captured them in a programme risk log which we continue to review. Each of the risks has been categorised according to the following criteria:

- Safety
- Financial
- Culture
- Performance and reliability
- People

Each risk has a pre- and post-mitigation weighting, based on likelihood and impact. Each mitigation has an accountable owner, with clear actions and timeframes. We'll translate this log into an action tracker to be used in the run up to go live and beyond, so we can provide assurance to our employees and Boards that risks are being addressed and opportunities exploited.

For safety specific risks, we're producing a separate CAP which will be approved by our Directors Risk, Assurance and Change Control Team (DRACCT). We'll capture, log and monitor our mitigating activities in the same way as we've outlined above.



## 9. Project plan summary

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### Key activities (subject to consultation)

The following lists the proposed key activities for the workstream. These will be consulted on and developed further. As we move through consultation and discuss matters with our unions, further details of activities and the relevant timelines and dates will be communicated to all in scope staff.

#### Track

- Advertise Maintenance Modernisation role upfront
- Band 4 assessment, selection & outcomes
- Band 3 preferencing & mapping
- Band 3 assessment, selection & outcomes
- Consultation End
- New Organisation Goes Live

#### Fleet

- Advertise Maintenance Modernisation role upfront
- Band 4 preferencing exercise
- Consultation End
- New Organisation Goes Live

#### Signals

- Upfront VS Open / Close
- Communicate VS outcomes
- Band 5 assessment, selection & outcomes
- Band 4 assessment, selection & outcomes
- Consultation End
- New Organisation Goes Live

#### Stations, Building and Civils

- Advertise new roles upfront
- Band 4 assessment, selection & outcomes
- Band 3 assessment, selection & outcomes
- Consultation End
- New Organisation Goes Live

#### Power & Electrical

- Advertise new role upfront
- Upfront VS Open / Close
- Communicate VS outcomes
- Band 4 assessment, selection & outcomes
- Consultation End





- New Organisation Goes Live

## **NP&S**

- Advertise new roles upfront
- Upfront VS Open / Close
- Communicate VS outcomes
- Band 4 placement exercise
- Band 3 assessment, selection & outcomes or placement exercise
- Band 2 assessment, selection & outcomes or placement exercise
- Band 1 assessment, selection & outcomes or placement exercise
- Consultation End
- New Organisation Goes Live

## **AS&R**

- Advertise new roles upfront
- Band 4 assessment, selection & outcomes
- Band 3 assessment, selection & outcomes
- Band 2 assessment, selection & outcomes
- Consultation End
- New Organisation Goes Live

## **Operations Upgrade**

- Upfront VS Open / Close
- Communicate VS outcomes
- Band 4 assessment, selection & outcomes
- Band 3 assessment, selection & outcomes
- Consultation End
- New Organisation Goes Live

## **Operational Administrators**

- Advertise new role upfront
- Band 2 assessment, selection & outcomes
- Band 1 assessment, selection & outcomes
- Consultation End
- New Organisation Goes Live

In accordance with our organisational change procedures, we will consult with our trade unions for at least 90 days before any employee is displaced from their current role.



## Appendix 1 Pooling

### Fleet – proposed pooling

Fleet – Pool 1	
Rationale for pool	Assessment and selection
Pooled together based on activity of current and future roles and the same skills, knowledge and experience between roles.	We'll use preferencing to allocate people to roles.
Current number of people in pool – 7	Proposed number of roles in pool – 8
Individual roles comprising this pool	Proposed new roles
Fleet Manager x 7	Fleet Manager x 5 Northern Line Fleet & Renewals Manager x 1 Fleet Services and Delivery Manager x 1
	Vacancy : The vacancy for the role of Modernisation Manager Band 4 will be filled via open advert at the beginning of the process

### Track – proposed pooling

Track – Pool 1	
Rationale for pool	Assessment and selection
Pooled together based on activity of current and future roles and the same skills, knowledge and experience between roles.	<p>Criteria</p> <p>Interview assessment against the key skills, knowledge and experience of the role as outlined in the job descriptions.</p> <p>Assessment against selected competencies and TfL behaviours.</p> <p>Process</p> <ul style="list-style-type: none"> <li>• Employee would submit an application demonstrating how they meet the skills, knowledge and experience for the role</li> <li>• Employee would attend a 45-minute interview, where they will be asked competency-based questions</li> </ul>
Current number of people in pool – 2	Proposed number of roles in pool – 1
Individual roles comprising this pool	Proposed new roles
MIS Performance Manager x 1 Track Maintenance Manager x 1	Track Delivery & Services Manager x 1 – PB4



Track – Pool 2	
Rationale for pool	Assessment and selection
Pooled together based on activity of current and future roles and the same skills, knowledge and experience between roles.	People will be mapped into roles as there are more roles than people. There will be 2 x vacancies following the mapping exercise.
Current number of people in pool – 5	Proposed number of roles in pool – 7
Individual roles comprising this pool	Proposed new roles
Track Infrastructure Manager x 3 Zonal Maintenance Manager x 2	Track Manager x 7 – PB3

Track – Pool 3	
Rationale for pool	Assessment and selection
Pooled together based on activity of current and future roles and the same skills, knowledge and experience between roles.	<b>Criteria</b> Employees will be able to preference for roles within this pool.  We'll use an interview assessment against the key skills, knowledge and experience of the role as outlined in the job descriptions to fill posts. Anybody who is not placed as a result of this exercise will be able to apply for residual vacancies in Track.  Assessment against selected competencies and TfL behaviours.
Employees from this pool can apply for residual vacancies from pool 2.	<b>Process:</b>  <ul style="list-style-type: none"> <li>Employee would submit an application demonstrating how they meet the Skills, Knowledge Experience for the role</li> <li>Employee would attend a 45minute interview, where they will be asked competency based questions</li> </ul>
Current number of people in pool - 10	Proposed number of roles in pool - 6
Individual roles comprising this pool	Proposed new roles
Welding, Cleaning & Corrective Delivery Manager x 1 Lubrication & Ultrasonics Delivery Manager x 1 Principle Operations Manager x 2 Senior Delivery Supervisor x 1 Track Services Manager x 1 Rail Engineer x 1 Scrap & Special Project Recovery Manager x 1 Lubrication Support Manager x 1 Welding Manager x 1	Tamping Delivery Manager x 1 – PB3 Cleaning Delivery Manager x 1 – PB3 Lubrication Delivery Manager x 1 – PB3 Ultrasonic Delivery Manager x 1 – PB3 Welding Delivery Manager x 1 – PB3 Track Delivery Manager x 1 – PB3



## Track – Pool 4

Rationale for pool	Assessment and selection
Pooled together based on activity of current and future roles and the same skills, knowledge and experience between roles.	<p>Employees will preference for either Vegetation role. Those that preference the Vegetation Delivery Manager role will go through an interview assessment against the key skills, knowledge and experience of the role as outlined in the job descriptions.</p> <p>Assessment against selected competencies and TfL behaviours</p> <p>If they don't preference the Vegetation Delivery Manager role or are not successful at interview they will be mapped into one of the three Vegetation Contract Manager roles.</p> <p>Process</p> <ul style="list-style-type: none"> <li>• Employee would submit an application demonstrating how they meet the Skills, Knowledge and Experience for the role</li> <li>• Employee would attend a 45 minute interview, where they will be asked competency based questions</li> </ul>
Current number of people in pool – 4	Proposed number of roles in pool - 4
Individual roles comprising this pool	Proposed new roles
Contract Manager x 1 Environmental Manager x 1 Environmental Contract Manager x 1 Environmental Supervisor x 1	Vegetation Contract Manager x 3 – PB3 Vegetation Delivery Manager x 1 – PB3

## Track – Pool 5

Rationale for pool	Assessment and Selection
Mapped based on activity of current and future roles and the same skills, knowledge and experience between roles.	<p>Criteria</p> <p>Employees will be mapped into roles based on activity analysis .</p>
Current number of people in pool – 1	Proposed number of roles in pool – 1
Individual roles comprising this pool	Proposed new roles
OTM Planning Manager x 1	Grinding Delivery Manager x 1 – PB3
	Vacancy : The vacancy for the role of Modernisation Manager Band 4 will be filled via open advert at the beginning of the process



## Signals – proposed pooling

### Signal Managers – Pool 1

Rationale for pool	Assessment and selection
<p>We have grouped these roles together based on activity of current and future roles and the interchangeability of skills, knowledge and experience between roles.</p> <p>There will be 2 Band 4s roles and 3 Band 3 roles in the to-be organisation.</p>	<p>Employees will be asked to preference for either the Band 3 or Band 4 roles.</p> <p>Selection and assessment will be required to allocate to roles.</p> <p>Employees will attend a Competency and Technical based interview which will be designed to assess the key requirements for their preferred roles.</p>
Current number of employees – 6	Proposed number of employees – 5
Individual roles comprising this pool	Proposed new roles
<p>Signal Infrastructure Manager x 3 Signal Maintenance Manager x1 Zonal Maintenance Manager x2</p> <p>*All Band 3 or LU/TfL Equivalent</p>	<p>Signals Manager BCV (Band 4) Signals Manager JN (Band 4) Signals Manager P (MMJ1) Signals Manager MCH (MMJ1) Signals Manager D (MMJ1)</p>

### Signals Works Delivery Manager Band 4 – Pool 2

Rationale for pool	Assessment and selection
<p>There is only one candidate in scope for this pool currently undertaking similar activities. To mitigate redundancy the employee will map up.</p>	<p>N/A employee mapped up.</p>
Current number of employees 1	Proposed number of employees 1
Individual roles comprising this pool	Proposed new roles
Signal Works Manager TfL Band 3 equivalent x 1	Signal Works Delivery Manager (Band 4) x1

### Technical Delivery Manager Band 4 – Pool 3

Rationale for pool	Assessment and selection
<p>Employee is currently undertaking a significant amount of the activities of the new role so will be mapped</p>	<p>N/A</p>
Current number of employees 1	Proposed number of employees 1
Individual roles comprising this pool	Proposed new roles



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Head of Signals JNP x 1	Technical Delivery Manager x 1
	Vacancy: the Signals Response Delivery Manager (Band 4) x 1 will be filled through an open advert at the beginning of the process.

## Stations, Buildings and Civils – proposed pooling

### Stations, Buildings and Civils

Rationale for pools	Assessment and selection
The new Stations, Building and Civils organisation has a mix of managers at band 4, band 3 and band 2. Pools have been created in relation to activity and asset type managed, and the level/banding of the role. Bandings for roles have been assigned based on influence, headcount accountability, asset complexity and accountability, budget and ER complexity. This pooling maximises choice of redeployment opportunities for the individuals. Premises, Cleaning and Systems have been pooled together owing to the high number of employees who currently work across or manage all of these asset types in their existing role. We've provided a summary of all proposed pools below.	Where possible roles have been mapped (a total of 24) and there are two vacancies at Band 4.  As the majority of pools are hybrid, we propose to use assessment and selection to fill posts. We propose to use interviews.
Current number of employees – 110	Proposed number of employees – 86
Individual pools outlined below:	Proposed new roles
<b>Pool 1:</b> Premises/Cleaning/Systems Band 4 x 2	<b>Pool 1:</b> Premises/Cleaning/Systems <b>Band 4</b> = 2 While there are two people in scope for two new roles there is no obvious map. We therefore propose to use assessment and selection to allocate these roles
<b>Pool 2:</b> Premises / Cleaning/ Systems Band 3 x 18	<b>Pool 2:</b> Premises / Cleaning/ Systems <b>Band 3</b> x 15
<b>Pool 3:</b> L&E Maintenance & R&E Band 4 x 4	<b>Pool 3:</b> L&E Maintenance & R&E <b>Band 4</b> x 3
<b>Pool 4:</b> L&E Technical/Contract Managers Band 3 x 4	<b>Pool 4:</b> L&E Technical/Contract Managers <b>Band 3</b> x 3
<b>Pool 5:</b> L&E Inspection Managers Band 3 x 2	<b>Pool 5:</b> L&E Inspection Managers <b>Band 3</b> x 1
<b>Pool 6:</b> L&E Construction Managers Band 3 x 9	<b>Pool 6:</b> L&E Construction Managers <b>Band 3</b> x 6
<b>Pool 7:</b> Civils Band 3 x 16* <i>There is one TG and one SM both from JNP in this pool as their activities match the band 3 SSL and BCV equivalent roles.</i>	<b>Pool 7:</b> Civils <b>Band 3</b> x 8



<b>Pool 8: Senior Readiness Manager Band 4 x 3</b>	<b>Pool 8: Senior Readiness Manager Band 4 x 1</b>
<b>Pool 9: Readiness Managers Band 3 x 27</b>	<b>Pool 9: Readiness Managers Band 3 x 20</b>
<b>Map 1: L&amp;E Maintenance Managers Band 3 x 5</b> <b>Map 2: L&amp;E Project Managers Band 3 x 7</b> <b>Map 3: L&amp;E R&amp;E Band 2 x 6</b> <b>Map 4: Pumps Band 3 x 2</b> <b>Map 5: Pumps Band 2 x 5</b>	<b>Map 1: L&amp;E Maintenance Managers Band 3 x 5</b> <b>Map 2: L&amp;E Project Managers Band 3 x 7</b> <b>Map 3: L&amp;E R&amp;E Band 2 x 6</b> <b>Map 4: Pumps Band 3 x 2</b> <b>Map 5: Pumps Band 2 x 5</b>
	<b>Vacancy 1: Civils Manager Band 4 x 1</b> This will be closed listed to the three current Civils Managers (BCV, SSL, JNP) to apply for who at present are MMJ grade but are the managers overseeing the three Civils management teams across LU. <b>Vacancy 2: Maintenance Modernisation Band 4 x 1</b> This will be an additional opportunity made available.

## Power and Electrical – proposed pooling

### Power and Electrical – Pool 1

Rationale for pool	Assessment and selection
Employees will be mapped into the roles in the new organisation as the role is not changing significantly and numbers are not reducing .	N/A
<b>Current number of employees – 4</b>	<b>Proposed number of employees – 4</b>
<b>Individual roles comprising this pool</b>	<b>Proposed new roles</b>
Control Systems Manager Operations Coordination Manager Generation Manager (Band 4) Plant Manager	Power Control Manager Operations Manager Generation Manager Plant Manager

### Cables Manager and Electrical Manager – Pool 2

Rationale for pool	Assessment and selection
We've grouped these roles together as we believe some of the individuals in current roles undertake activities that could preference for both roles.	<p>Employees can preference to be allocated to a role. Assessment and selection will be used to allocate to roles. Senior managers will be involved in assessment and selection.</p> <p>Employees will attend a competency and technical based interview, which will be designed to assess the key requirements for their preferred roles.</p>





Current number of employees – 4	Proposed number of employees – 2
Individual roles comprising this pool	Proposed new roles
Power & Signal Maintenance Manager x1 P & E Manager x1 HV Cables & Drawing Office Manager x1 C&E Maintenance Manager BCVx1	Cables Manager x1 Electrical Manager x1

Power and Electrical – Pool 3	
<b>Rationale for pool</b>	<b>Assessment and selection</b>
Role no longer exists so at risk pool	Other opportunities may be available outside of this pool as potential that the employee will be able to apply for
Current number of employees – 1	Proposed number of employees – 0
Individual roles comprising this pool	Proposed new roles
Business Performance Manager Band 4 equivalent	Role no longer exists
	Vacancy : The vacancy for the role of Power Delivery & Modernisation Manager Band 4 will be filled via open advert at the beginning of the process

### NP&S – proposed pooling

Senior Manager Pool – Pool 1	
<b>Rationale for Pool</b>	<b>Assessment and selection</b>
We've grouped these roles together as we believe they require broadly transferable skills.  Employees will be mapped into the roles in the new organisation as the role is not changing significantly and there are no reductions in roles in this pool.  The vacant Band 4 roles will be advertised.	Mapping
Current number of employees – 4	Proposed number of employees – 6
Individual roles comprising this pool	Proposed new roles
Head of Materials Management x1 Trains Division Manager x1 Senior Maintenance Planning Manager x1 DSM Manager x 1	Head of Materials and Plant Management x 1 Head of Workshops x1 Senior Planning Manager x 3 Vehicles Logistics Strategy Manager x1
New or vacant roles : Senior Planning Manager x 2 and Network Planning Modernisation Manager x 1 roles will be advertised.	



## Materials & Plant Management Band 3 equivalent – Pool 2

Rationale for pool	Assessment and selection
We've grouped these roles together as we believe they require broadly transferrable skills.	Senior managers will be involved in assessment and selection. Employees will attend a competency and technical based interview which will be designed to assess the key requirements for this role.
Current number of employees – 11	Proposed number of employees – 6
Individual roles comprising this pool	Proposed new roles
Materials Manager x 3 Logistics Manager x 2 Supply Chain Manager x 1 Materials Logistics Manager x 3 Plant & Equipment Manager x 1 Plant Services Manager x 1	Materials Manager x 6

## Materials and Plant Management Band 2 Equivalent – Pool 3

Rationale for pool	Assessment and selection
We've grouped these roles together as we believe they require broadly transferable skills.  As there is no reduction in roles and the role has not significantly changed, mapping will be applied and the remaining roles will be advertised or used as a suitable alternative role for employees who are displaced from Pool 2.	Mapping
Current number of employees – 19	Proposed number of employees – 26
Individual roles comprising this pool	Proposed new roles
SRM x 1 Material Controller x 11 Material Assistant x 1 Materials Support Manager x 1 Maintenance & Material Manager x 1 Materials Assistant x 1 Plant Hire Controller x 1 Plant Hire/Procurement Controller x 1 Materials/Credit Controller x 1	Materials controller x 26

## Materials & Plant Management Band 1 Equivalent – Pool 4

Rationale for Pool	Assessment and selection
We've grouped these roles together as we believe they require broadly transferrable skills.	Senior managers will be involved assessment and selection.  Employees will attend a competency and technical based interview which will be designed to assess the key requirements for these roles.



Current number of employees – 9	Proposed number of employees – 2
Individual roles comprising this pool	Proposed new roles
Signal Repairables Controller/Buyer x1 Admin & Document Controllers x1 Admin Buyer x 1 Customer Service Uniforms x 2 PPE Assistant x 1 Administrator x 2 Plant Services Key Account Controller x 1	Plant Administrator x 1 Customer Service Advisor x 1

### Materials & Plant Management- Performance Band 3 Equivalent – Pool 5

<b>Rationale for pool</b>	<b>Assessment and selection</b>
Employee will be mapped into the equivalent role in the new organisation as the role is not changing significantly and there is no reduction in this pool.	Mapping
Current number of employees – 1	Proposed number of employees – 1
Individual roles comprising this pool	Proposed new roles
Materials Compliance Manager x 1	Materials Performance Manager x 1

### Materials & Plant Management Quality Band 3 Equivalent – Pool 6

<b>Rationale for pool</b>	<b>Assessment and selection</b>
The activities and accountabilities required to meet the needs of the future Materials Quality Manager role is significantly different than today. Assessment and selection based on requirement of new role will be applied.	Senior Managers will be involved in selection and assessment  Employees will attend a competency and technical based interview which will be designed to assess the key requirements for this role.
Current number of employees – 1	Proposed number of employees – 1
Individual roles comprising this pool	Proposed new roles
Warranty Manager x 1	Materials Quality Manager x 1
New or vacant roles : Vacancy for Materials Quality Specialist (Band 2) x 1 will be advertised.	

### Planning Band 3 Equivalent – Pool 7

<b>Rationale for pool</b>	<b>Assessment and selection</b>
We've grouped these roles together as we believe they require broadly transferable skills.	Senior managers will be involved in assessment and selection.



	Employees will attend a Competency and Technical based interview which will be designed to assess the key requirements for this role.
Current number of employees – 29	Proposed number of employees – 20
Individual roles comprising this pool	Proposed new roles
Access, Maximo & Protection Manager x 1  Fleet Planning Manager Jubilee Fleet x 1 Jubilee Fleet Planning Manager x 1 Lead Maintenance Planner x 17 Maintenance Improvement Planner x 3 Maintenance Planning Manager x 4 Piccadilly Line Fleet Planning Manager x 1 Planning Manager x 1	Asset Planning Coordination Manager x 20

### Planning Band 2 Equivalent Pool – 8

<b>Rationale for pool</b>	<b>Assessment and selection</b>
We've grouped these roles together as we believe they require broadly transferable skills.  Employees will be mapped into the roles in the new organisation as the role is not changing significantly and there are no reductions in roles in this pool.	Mapping
Current number of employees – 56	Proposed number of employees – 61
Individual roles comprising this pool	Proposed new roles
Access Coordinator x 4 Civils Planner x 1 Cost and Value Engineer x 1 Jubilee Line Track Maximo & Sabre Administrator x 1 Maintenance Planner x 38 Maximo Administrator x 1 Maximo Track Support x 1 Piccadilly Fleet Planner x 1 Signal Planner x 1 Signal Works Planner x 1 Signals Planner x 1 Third Party Planner x 1 Track Planner x 4	Medium term Planner x 2 Asset Maintenance Planner x 59



## Planning Band 1 Equivalent – Pool 9

Rationale for pool	Assessment and selection
This skillset is no longer required in our organisation. There are no roles identified that are interchangeable with the roles currently undertaken. The administrative/support/data inputting function is incorporated into the roles designed above.	At risk
Current number of employees – 10	Proposed number of employees – 0
Individual roles comprising this pool	Proposed new roles
Maximo Administrator x 1 Maximo Civils Support x 1 Maximo Signals Support x 1 Maximo Signals Work Support x 1 Maximo Civils Support x 1 Maximo Administrator Piccadilly Fleet x 1 Data Inputter –Track x 1 Track Technical Clerk x 1 Technical Assistant x 1 Data Inputter Signals x 1	No roles in the new organisation

## Vehicle Logistics Band 3 equivalent – Pool 10

Rationale for pool	Assessment and selection
We've grouped these roles together as we believe they require broadly transferable skills.	Employees will preference one role.  Senior managers will be involved in assessment and selection.  Employees will attend a competency and technical based interview which will be designed to assess the key requirements for their preferred roles.
Current number of employees – 4	Proposed number of employees – 3
Individual roles comprising this pool	Proposed new roles
Night Operations Manager x 1 Distribution Services Fleet Development Manager x 1 Operations Manager (Maintenance & Compliance) x 1 DSM Fleet Services Manager x 1	Operations Manager x 2 Vehicle Development Manager x 1

## Vehicle Logistics Band 1 Equivalent – Pool 11

Rationale for pool	Assessment and selection
We've grouped these roles together as we believe they require broadly transferable skills.	Senior managers will be involved in assessment and selection.  Employees will attend a competency and technical based interview which will be designed to assess the key



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	requirements for their preferred roles. We'll find suitable alternative employment if desired.
Current number of employees – 11	Proposed number of employees – 10
Individual roles comprising this pool	Proposed new roles
Customer Support Administrator x 1 Customer Services Assistant x 2 Business Support Administrator x 1 Customer Service Administrator x 1 Customer Service Administrator Waste (Shift) x 1 Driver Risk Administrator x 2 Risk and Business Services Administrator x 1 Customer Services Admin x 1 Key account controller x 1	Administrator x 10

### Vehicle and Logistics Band 2 Equivalent – Pool 12

Rationale for pool	Assessment and selection
Due to change in systems and processes, this role is no longer needed in the new organisation.	At risk
Current number of employees – 1	Proposed number of employees – 0
Individual roles comprising this pool	Proposed new roles
Business Support Manager x 1	Does not exist in the new organisation

### Vehicle Logistics – Mapping

Rationale for pool	Assessment and selection
Employee will be mapped into the equivalent role in the new organisation as the role is not changing significantly and there is no reduction in this pool.	Mapping
Current number of employees – 10	Proposed number of employees – 10
Individual roles comprising this pool	Proposed new roles
<p>Band 2 Equivalent:</p> <p>Information Support Manager x 1 Environment and Scrap Manager x 1 Duty Operations Manager x 1 Operations Business Support Manager x 1 Fleet Compliance Support Manager x 1 Vehicle replacement Support Manager x 1 Customer services Support Manager x 1 Risk and Business Support Manager x 1</p> <p>Band 3 Equivalent:</p>	<p>Band 2 Equivalent:</p> <p>Systems Improvement Support Manager x1 Environment and Scrap Support Manager x 1 Improvements Field Engineer x1 Logistics Cost Efficiency Support Manager x 1 Vehicle Compliance Support Manager x 1 Vehicles Operations &amp; Lease Manager x 1 Vehicles Fines Support Manager x 1 Vehicles Insurance Support Manager x 1</p> <p>Band 3 Equivalent:</p>



Haulage & Compliance Manager x 1 Waste Manager x 1	Haulage & Compliance Manager x 1 Waste & Systems Improvement Manager x 1
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### Workshops Band 3 Equivalent – Pool 13

Rationale for pool	Assessment and selection
This role is no longer required in the workshops team.	At risk
Current number of employees – 3	Proposed number of employees – 0
Individual roles comprising this pool	Proposed new roles
Portfolio Manager x 3	Does not exist in the new organisation

### Workshops Band 3 Equivalent – Pool 14

Rationale for pool	Assessment and selection
We've grouped these roles together as we believe they require broadly transferable skills.	Senior managers will be involved in assessment and selection.  Employees will attend a competency and technical based interview which will be designed to assess the key requirements for this role.
Current number of employees – 4	Proposed number of employees – 2
Individual roles comprising this pool	Proposed new roles
Operations Manager x 2 Signals Repairable Manager x 1 Head of TMU x 1	Operations Manager x 2

### Workshops Band 2 Equivalent – Pool 15

Rationale for pool	Assessment and selection
Employee will be mapped into the equivalent role in the new organisation as the role is not changing significantly and there is no reduction in this pool.	Mapping  *there will be one vacancy in this pool
Current number of employees – 3	Proposed number of employees – 4
Individual roles comprising this pool	Proposed new roles
Manufacturing Support Engineer x 3	Process Engineer x 4



## Workshops – Mapping

Rationale for pool	Assessment and selection
Employee will be mapped into the equivalent role in the new organisation as the role is not changing significantly and there is no reduction in this pool.	Mapping
Current number of employees – 25	Proposed number of employees – 25
Individual roles comprising this pool	Proposed new roles
<p>Band 1 Equivalent: Progress Chaser x 1 Production Assistant x2 Ellipse Administrator x 2 Material Control Assistant x 1</p> <p>Band 2 Equivalent: Customer Care Executive x 1 Inspector x 3 Quality Assurance Engineer x 1 Production Support Manager x 1</p> <p>Band 3 Equivalent: SES Workshops x 1 SQE Advisor x 1 Lead Inspector x 1</p> <p>Project Manager x 1 Project Engineer x 4 Senior Manufacturing Engineer x 4 Electrical Mechanical fitter x 1</p>	<p>Band 1 Equivalent: Production Scheduler x 1 Production Scheduler x 2 Production Scheduler x 2 Production Scheduler x 1</p> <p>Band 2 Equivalent: Document Controller x 1 Inspector x 3 Quality Engineer x 1 Production Planner x 1</p> <p>Band 3 Equivalent: Electronics Workshop Manager x 1 Quality Assurance Manager x 1 Lead Inspector x 1</p> <p>Senior Manufacturing Engineer x 10</p>
<p>New or vacant roles in Workshops: Process Improvement Manager x 1 (Band 3 Equivalent) which will be advertised Condition Monitor Technician x 1 (Band 1 Equivalent)</p>	

## Operational Upgrades Band 4 – Pool 16

Rationale for pool	Assessment and selection
<p>Pooled together based on activity of current and future roles and the same skills, knowledge and experience between roles.</p> <p>*One employee who is a Lead ODM included in Pool 18 has been seconded to a Upgrades Delivery Manager position for over 18 months.</p>	Mapping
Current number of employees – 3	Proposed number of employees – 2
Individual roles comprising this pool	Proposed new roles
<p>Upgrades Delivery Manager x 1 Northern Line Operations Manager x 1 Line Operations Manager –Piccidilly line x 1</p>	Senior Readiness Manager x 2





## Operational Upgrades Band 3 Equivalent – Pool 17

Rationale for pool	Assessment and selection
<p>We've grouped these roles together as we believe the roles require broadly transferable skills.</p> <p>*One employee in this pool has been seconded to an Upgrades Delivery Manager position for over 18 months.</p>	<p>Senior Managers will be involved in selection and assessment</p> <p>Employees will attend a competency and technical based interview which will be designed to assess the key requirements for this role.</p>
Current number of employees – 8	Proposed number of employees – 7
Individual roles comprising this pool	Proposed new roles
Lead Asset Development Manager x 1 Lead Operational Development Manager x 5 Projects Interface Manager x 1 NL Performance and Attributions Manager x 1	Lead Asset Delivery Manager x 2 Lead Operational Delivery Manager x 5

## Operational Upgrades Band 3 Equivalent – Pool 18

Rationale for pool	Assessment and selection
<p>We've grouped these roles together as we believe the roles require broadly transferrable skills.</p>	<p>Employees will preference one role.</p> <p>Senior managers will be involved in assessment and selection.</p> <p>Employees will attend a competency and technical based interview which will be designed to assess the key requirements for their preferred roles.</p>
Current number of employees – 14	Proposed number of employees – 12
Individual roles comprising this pool	Proposed new roles
Asset Development Manager x 1 Operational Development Manager x 11 Operational Task Managers x 2	Asset Delivery Manager x 2 Operational Delivery Manager x 10

### AS&R – proposed pooling

## AS&R Senior Manager – Pool 1

Rationale for pool	Assessment and selection
<p>We've grouped these roles together as we believe there is interchangeability of skills between these roles. There is a combination of Band 4 employees and TubeLines MG grades due to senior manager activity analysis.</p>	<p>Employees will preference two roles in this pool.</p> <p>Senior managers will be involved in assessment and selection.</p> <p>Employees will attend a competency and technical based interview which will be designed to assess the key requirements for their preferred roles.</p>



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Current number of employees – 6	Proposed number of employees – 3
Individual roles comprising this pool	Proposed new roles
Asset Systems Manager x 1 Asset System & Data Manager x 1 Business Systems Solution Manager x 1 Operations Manager (Business Intelligence) x 1 Performance Improvement Manager x 1 Asset Performance Manager x 1	Senior Asset Systems Manager Systems Improvement and Delivery Manager Asset Reliability Improvement Manager

Asset Systems/Data Handover/Systems Improvement Band 3 Equivalent – Pool 2	
Rationale for pool	Assessment and selection
We've grouped these roles together as we believe they require broadly transferable skills.	Employees will preference two roles.  Senior managers will be involved in assessment and selection.  Employees will attend a competency and technical-based interview which will be designed to assess the key requirements for their preferred roles.
Current number of employees – 30	Proposed number of employees – 28
Individual roles comprising this pool	Proposed new roles
Asset Maximo Support Manager x 1 Asset Maximo Support Manager (Infrastructure) x 1 Implementation Manager (Signals) Performance x 1 Asset Data Manager (Custodian) x 4 Performance Manager Piccadilly Line x 1 Performance Manager Jubilee Line x 1 TLCC System Support Manager Performance x 1 Maximo Implementation Lead x 1 Ellipse Data Manager x 4 Implementation Manager (Stations) Performance x 1 Asset Information Group Manager Performance x 1 Systems Delivery Manager x 7 Business Intelligence Analyst x 1 Reporting Systems Manager x 1 Operations Management Systems Manager x 1  Management Accountant x 1 LU Ops System & Process Manager x 1 Asset Development Engineer x 1	Asset Systems Manager x 6 Asset Systems Technical Manager x 1 Asset Data Handover Manager x 1 Asset Data Change Manager x 4 Asset Data Systems Support Manager x 3 Implementation Manager x 2 Implementation Lead x 9 Asset Maintenance Reporting Manager x 1 Portfolio Manager x 1



### Asset Reliability Improvement Band 3 Equivalent – Pool 3

<b>Rationale for pool</b>	<b>Assessment and selection</b>
<p>We've grouped these roles together as we believe the roles require broadly transferable skills.</p> <p>The Initiatives Manager and Improvement Manager will be given the opportunity to preference in this pool or in the Performance Band 3 Pool (Pool 2).</p>	<p>Senior Managers will be involved in assessment and selection.</p> <p>Employees will attend a competency and technical-based interview which will be designed to assess the key requirements for the role.</p>
<b>Current number of employees – 5</b>	<b>Proposed number of employees – 3</b>
<b>Individual roles comprising this pool</b>	<b>Proposed new roles</b>
Reliability Manager x 3 Initiatives Manager x 1 Improvement Planner x 1	Asset Improvement Manager X 3

### Asset Reliability Improvement Band 3 Equivalent – Pool 4

<b>Rationale for pool</b>	<b>Assessment and selection</b>
<p>Employees will be mapped into the roles in the new organisation as the role is not changing and numbers are not reducing.</p>	Mapping
<b>Current number of employees – 3</b>	<b>Proposed number of employees – 3</b>
<b>Individual roles comprising this pool</b>	<b>Proposed new roles</b>
Data Scientist x 3	Data Scientist x 3

### Document and Records Band 3 Equivalent – Pool 5

<b>Rationale for pool</b>	<b>Assessment and selection</b>
<p>Employees will be mapped into the roles in the new organisation as the role is not changing and numbers are not reducing.</p>	Mapping
<b>Current number of employees – 1</b>	<b>Proposed number of employees – 1</b>
<b>Individual roles comprising this pool</b>	<b>Proposed new roles</b>
Information Services Manager x 1	Documents and Records Manager x 1



Asset Systems/Data Handover/Systems Improvement Band 2 Equivalent – Pool 6	
Rationale for pool	Assessment and selection
We have grouped these roles together as we believe some the employees undertake activities across a number of roles and could preference for more than one role.	<p>Employees will preference two roles.</p> <p>Senior Managers will be involved in selection and assessment to ensure employees are placed in roles which best match their skills, knowledge and experience.</p> <p>Employees will attend a Competency and Technical based interview which will be designed to assess the key requirements for their preferred roles.</p>
Current number of employees – 12	Proposed number of employees – 13
Individual roles comprising this pool	Proposed new roles
Asset Information Analyst Performance x 3 Asset Data Technician x 5 Asset System Business Operations x 1 Senior Report Developer x 1 Information Analyst x 1 Assistant Asset Development Engineer x 1	Technical Systems Support x 2 Asset Systems Support x 2 Asset Data Handover Support Technician x 7 Business Report Delivery Support Business Intelligence Support

Asset Reliability Improvement Band 2 Equivalent – Pool 7	
Rationale for pool	Assessment and selection
<p>We've grouped these roles together as we believe the roles require broadly transferrable skills.</p> <p>4x Performance Analysts;            5 x Reliability Analysts in this pool;            1 x Asset Analyst Stations Performance;            1 x Attributions Support Analyst;            1 x Asset Analyst Fleet Performance from the Performance pool will be given the opportunity to preference in this pool or in the TfL Performance workstream pool.</p>	<p>Employees will preference two roles.</p> <p>Senior Managers will be involved in assessment and selection.</p> <p>Employees will attend a competency and technical-based interview which will be designed to assess the key requirements for their preferred roles.</p>
Current number of employees – 22	Proposed number of employees – 9
Individual roles comprising this pool	Proposed new roles
Performance Analyst x 4 Business Information Manager x 1 Reliability Analysts x 13 NL Performance Manager (Secondment) x 1 Asset Analyst Stations Performance x 1 Attributions Support Analyst x 1 Asset Analyst Fleet Performance x 1	Asset Improvement Analyst x 8 Fracas Governance support x 1



## Document and Records Band 2 Equivalent – Pool 8

Rationale for pool	Assessment and selection
We've grouped these roles together as we believe the roles require broadly transferable skills.	Senior managers will be involved in assessment and selection,  Employees will attend a competency and technical-based interview which will be designed to assess the key requirements for the role.
Current number of employees – 5	Proposed number of employees – 3
Individual roles comprising this pool	Proposed new roles
Information Delivery Manager x 5	Documents and Records Delivery Support x 3
*Two vacant roles: ACR Manager (Band 3 equivalent) x 1 and FRACAS Governance Manager (Band 3 equivalent) will be advertised.	

## Operational Admin – Proposed pooling

### Operational Admin Manager Band 3 or LU Equivalent – Pool 1

Rationale for pool	Assessment and selection
This is a new role and it will be openly advertised as an opportunity at the start of the process.	Senior managers will be involved in assessment and selection.  Employees will attend a competency and technical-based interview which will be designed to assess the key requirements for the role.
Current number of employees – 0	Proposed number of employees – 1
Individual roles comprising this pool	Proposed new roles
N/A	Administration Manager Band 3 or LU equivalent

### Local Administration Team Leader Band 2/LU/TubeLines/Power Equivalent – Pool 2

Rationale for pool	Assessment and selection
We have grouped these roles together as the activities undertaken are similar	Employees can preference which asset area they wish to support. Senior managers will be involved in assessment and selection.  Employees will attend a competency and technical- based interview which will be designed to assess the key requirements for their preferred roles.



Current number of employees – 10	Proposed number of employees – 6
Individual roles comprising this pool	Proposed new roles
Training Administration Manager x 1 DLO Team Leader x 1 Lead Team Coordinator x 1 TS Contract & Commercial Admin x 1 Admin Manager – Power Delivery x 1 BSC Performance Support Manager x 1 Fleet Administration Support Manager x 2 Fleet and Trains Administrator x 1 Network Command & Response Team Leader x 1	Local Administration Team Leader x 6

## Local Administrator Band 1/ LU/TubeLines Equivalent Grade – Pool 3

Rationale for pool	Assessment and selection
We've grouped these roles together as the activities undertaken are similar.	Employees will be able to preference the business area they wish to support.  Employees will attend a competency and technical-based interview which will be designed to assess the key requirements for roles.
Current number of employees – 49	Proposed number of employees – 44
Individual roles comprising this pool	Proposed new roles
Administration Assistant x 2 Administrator x 2 Fleet and Trains Administrator x 11 Local Administrator x 15 Support Administrator x 3 Team Administrator x 1 Team Administrator - NC&R x 2 Fleet and Trains Administrator x 3 TBTC Administrator Jubilee Fleet x 1 HR Administrator x 4 HR Administrator – Track x 1 HR Administrator (DSM and Plant Services) x 1 Human Resource Administrator Operations TLES x 1 Jubilee Line Track Operations HR Administrator x 1 Northern Line Track Operations HR Administrator x 1	Local Administrator x 44

**Note** - For clarity, the Performance Analysis and Improvements Team will remain a TfL function. We acknowledge that there may be employees sitting within LU currently undertaking activity that will migrate across to TfL. However, detailed activity analysis has identified that no specific individuals are dedicated to undertaking the performance and analysis activity that will migrate. Therefore, those that currently undertake this activity amongst other duties will be allowed to preference roles in the TfL performance team and if successful will be offered TfL contracts.



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