HANDBOOKS FOR ALL LU MANAGERS

Administering expenses locally

Information

Local expenses could include items such as:
- police checks for new starters
- eyesight tests
- maternity uniform up to the value of £50

There are three methods of managing expenses locally:
- reimbursing employees via SAP
- using petty cash
- using a purchasing card

Reimbursement via SAP

Information

When a purchasing card is not practical for a local expense, the employee should pay for the item and the amount is reimbursed to their bank account via SAP.

Company purchasing cards

Warning

Purchasing cards can only be issued at the request of a director.

If your cost centre requires access to a purchasing card, you must contact your director, stating the reasons.

Information

Each company purchasing card has a single transaction limit, a monthly credit limit and possible Merchant Category Codes (MCC) [restrictions that may or may not be used].

An MCC is a number assigned by the bankcard industry to a merchant/payee based on the predominant business activity of the merchant which is determined by the type of goods or service the supplier provides.

Company purchasing cards are normally blocked for the purchasing of certain items as contracts already exist for the purchase of these items.

In the standard card profile, MCCs can be unblocked temporarily for exceptional transactions, if justified and approved by the Managing Director.

Information

Company purchasing cards usually have the following limits:
- a single transaction limit (usually £200)
- a monthly credit limit (usually £500)

Information

A payment will be declined if these limits are exceeded.

If you require a variation to these limits, you must contact your line manager with an explanation of why you need them changed.

For further information, you can contact BSF Cash Managements team who manage the company purchasing cards.

Warning

You must not use a company purchasing card for personal purposes. If you do this you are liable for disciplinary action.

The use of [company purchasing cards](#) will be audited annually.

What you can buy with your card

You can use your company purchasing card for:
- television licences for operational premises (provided it is authorised by the managing director)
- materials except where specifically excluded below

What you cannot buy with your card

All purchasing cards are blocked for all users for the categories listed below:

- Cash
- Travel
- Hotels and accommodation
- Restaurants and bars
- Leisure activities
- Catering and catering supplies
- Automotive rental
- Automotive fuel
- Vehicle servicing and repairs
- Building services
- Estate and garden services
- Telecommunication services
- Staff temporary recruitment
- Training and education
- Office stationery, equipment and services
- Computer equipment and services
- Print and advertising
- Books and periodicals
- Mail and courier services
- Freight and storage
- Professional services
- Clubs, association and organisation memberships
- Statutory bodies
- Financial services
- Personal services
- Long service and retirement awards

Accommodation

If accommodation is needed for an employee as part of legitimate LU business activity, you must arrange this using the Business Travel and Accommodation

Travel

Employee travel must be arranged via Business Travel and Accommodation and only in compliance with the LU Travel at work policy.

Using your card in exceptional circumstances

If, in exceptional circumstances, you need to use your card for an item that is blocked, you must request permission from the managing director to apply via e-mail to TfL BSF Cash Management Team with a justification for the unblocking telephone orders.

If you use your card to order anything by telephone, you must specify your office address as the billing address.

Queries relating to your card

You must contact BSF Cash Management Team for advice if you have a query regarding any of the following:

- purchasing card statement
- card issues
- cancellations

Maintaining and checking records

You must:
- keep a record of all purchases
- keep a copy of all receipts and invoices
- make sure you print a receipt or invoice when ordering items on-line

You must make sure your monthly purchasing card statement is correct.

Warning

You must not authorise any expense claims or purchasing card expenditure for your cost centre without a paper receipt or invoice.

You must enter all claim details in Travel & Expenses via Me at Work in SAP, and provide your line manager with paper receipts and invoices to enable the claim to be approved.

Information

When your claim has been approved and the receipts received by the BSF, costs will be charged to the relevant cost centre.

Information

Purchasing card details are loaded into SAP approximately one week after receiving statements. All cardholders receive an e-mail when this has been done.

When you receive an e-mail stating that your purchasing card details have been loaded into SAP, you must clear your statement in SAP.

Change of circumstances

You must tell BSF Cash Management Team if you:
- move to a new location, or
- change cost centre
- no longer require the use of the card

Lost or stolen cards

If you lose your company purchasing card, or it is stolen, you must immediately tell HSBC on 0845 600 7010. You must have your card number available when you call them.

You must also tell the following as soon as possible:
- your line manager
- BSF Cash Management Team

Renewing your card

Information

TfL BSF Cash Management Team will tell you when a replacement card is available for collection. They will do this when your existing card has nearly expired.

Cancelling your card

Information

You cannot transfer your company purchasing card to another person.

If someone else needs to have a card instead of you, you must arrange for your own card to be cancelled and a new card requested for the other person.

Your card must be cancelled if you leave TfL or you no longer require it. To cancel your card, you must:

- cut your card in half
- return the cut card to BSF Cash Management Team with a note asking for the card to be cancelled

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Contact

▶ **BSF Cash Management Team**

Related documents

📄 **LU Travel at work policy**

Related links

▶ **Company purchasing cards**

Administration roles

Allocating tasks

Warning

When allocating tasks, you must make sure they are divided fairly and equally between administrators.

The tables below detail the main tasks and additional tasks normally carried out by administrators. If you do not have an administrator, then you will need to ensure all the tasks are completed. The tasks might vary from location to location and, depending on the business area, other additional tasks might need to be allocated.

Main tasks

Leave administration

Shift planning & coverage

Attendance & AAWs

Planning training

Staff passes / PTAC

Diary management

Resource planning

Procurement

Archiving

Starters, movers, leavers

Periodic medicals

Staff files

Requisitions

Make a difference awards

Maintain staff master data

Nominations

Visitors passes

Note taking

Ad hoc letters

Warning

In order to enable the administrator to manage your diary, you must allow access to your calendar in Microsoft Outlook.

To make sure both administrators are competent to carry out all activities during periods of leave or absence, you must rotate roles every 12 months.

Administration tasks

For further information on administrative roles, refer to [Handbook for Administrators](#).

To manage your administrators effectively, you must familiarise yourself with the following administration tasks.

Information

Whilst not responsible for carrying out these tasks, you are accountable for making sure they are carried out correctly.

Shift planning

You must make sure that:

- advance and amended duties are published on time
- priority is given to critical shifts when allocating duties (to avoid service disruption, station closures, operator not available)
- no unnecessary overtime is paid due to poor shift planning
- For Train Operators only, a good practice guide to shift planning and coverage can be found [here](#)
- the framework agreements are adhered to in all cases

Customer Operations

Staff are monitored to ensure contractual hours are being worked. Staff working over or under hours is kept to a minimum.

Your administrator will prepare the necessary information for you to authorise. In Line Operations, you must use the [Shift Plan Authorisation Checklist](#) to confirm your authorisation.

Payroll control

You must make sure that:

- an absence audit, employee remuneration & overtime and attendance audit report are printed from the appropriate business operating system every week
- the week's display sheets, the seven daily business recommended system Signing On sheets (Customer Services only), Booking on Sheets and /or Signing On Sheets (Line Operations) and daily variation sheets are checked against these reports
- you or a designated deputy certifies this as a correct and true record on a weekly basis

Your administrator will prepare the necessary information for you to check. You must use the correct Payroll Control Checklist to confirm your authorisation:

- [F1969 Line Operations](#)

Training and licensing

You must make sure that:

- all staff who require licences are in possession of a valid licence

- all staff are booked on necessary training courses to keep licences valid

Annual leave

Information

Non rostered staff requesting leave should do so through the appropriate business operating system. The relevant line manager will either grant the leave or decline it.

You must make sure that:

- annual leave is evenly distributed with no overloaded periods
- records are kept of leave requests granted and declined
- annual leave records are checked and maintained upon arrival of new staff to your area

Customer Operations

Annual leave dates for the following year must be distributed as stated in the framework agreement.

Attendance

You must make sure that:

- sickness and lateness details must be recorded in the appropriate business operating system
- return to work interviews and formal or informal action taken is input in SAP in a timely manner
- the Attendance At Work (AAW) infringement report is run weekly
- attendance patterning reports are produced as needed
- paperwork required for any local disciplinary interviews is collated and given to the relevant manager

Staff files

Where staff files are kept in your area, you must make sure that:

- they are kept in a secure filing cabinet

- details are updated or removed annually if necessary
- discipline folders are kept separately
- staff files are delivered promptly to the new location for transferring staff
- Make a difference awards are recorded in SAP

Uniform/PPE ordering

You must make sure that:

- uniform requests are dealt with promptly
- records are kept to monitor how much uniform staff are requesting

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Related links

▶ **Handbook for administrators**

Related documents

📄 **Good practice guide to shift planning and coverage**

📄 **Shift Plan Authorisation Checklist**

📄 **F1969 Line Operations**

HANDBOOKS FOR ALL LU MANAGERS

Allocating duty manager roles

Customer Operations

You must assess each duty manager's competence to carry out all aspects of their role. This is a requirement of the Competence Management System (CMS).

Information

All duty managers should be given accountability for carrying out performance & development discussions with a set number of staff. This will vary depending on the number of staff in a work area but should be divided equally amongst the duty manager team.

Allocating champion roles

Information

'Champion' is the term given to the person made accountable for making sure that all tasks in a particular work area are carried out. The champion does not have to carry out all the tasks themselves. Tasks must be delegated fairly and consistently among the duty manager team.

The champion for a particular work area will normally represent the centurion manager at meetings relating to their champion role.

Information

Duty managers can be allocated more than one role depending on the tasks involved in the role. Additional roles should be made up of areas requiring focus in your area of business.

Stations, Trains and Service Control roles must be allocated as shown in the table below.

In the case of all championship roles managing costs should be considered and kept to a minimum.

For Service Control the Service Manager Instructor will lead staff training and familiarisation.

Stations	Trains	Service Control
Staff, including: - performance & development - attendance management - competence management - staff engagement - duty scheduling and planning	Staff, including: - performance & development - attendance management - competence management - staff engagement - duty scheduling and planning	Staff, including: - performance & development - attendance management - staff engagement - duty scheduling and planning
ticketing & revenue, including: - staff performance - scorecard measures - T&R procedures - monitoring of queue times and device availability - managing accounting and revenue	information, including: - 30 second PAs - real time information provision - safety critical communications	information, including: - information provision - line information specialists - safety critical communications
ambience, including: - station presentation - maintaining signage and poster standards - BTP liaison - energy management	asset reliability, including: - CMO liaison - Connect radio management	engineering work / possessions, including: - attend possession planning meetings

		• review possession plans • ensure effective closure management arrangements are in place
reliability, including: • staff deployment • platform duties/annoncements • providing information • availability of equipment and assets (including Connect radio management)	reliability, including: • signals passed at danger (SPADs) • staff errors • poor performance	reliability, including: • train service scorecard measures • train service provision • equipment and asset availability (including Connect radio management) • APD liaison
safety, including: • staff training and familiarisation • planned general inspections • maintenance of workplace and customer risk assessments • maintenance of congestion control & emergency plans • liaison with Transec and LFEPA	safety, including: • staff training and familiarisation • planned general inspections • maintenance of workplace and customer risk assessment	safety, including: • planned general inspections • maintenance of workplace and customer risk assessments • line emergency plans (service levels)

Allocating champion roles to CSMs

Information

The area manager can ask CSMs to take responsibility for aspects of landlordship or performance at a specific station or section of a station.

Allocating revenue control champion roles

You must allocate revenue control champion roles for the following:
- ticketing & revenue
- staff & customer service
- safety

Allocating duty manager deputy roles

In addition to champion roles, you must also allocate deputy champion roles to all duty managers. This is to allow for development in all aspects of the duty manager role.

You must rotate champion roles every 24 months. When rotating champion roles, you must make sure that:
- roles are not all rotated at the same time
- rotation is achieved without allowing performance to suffer
- a deputy champion is competent to take over the champion role
- there is a sufficient handover period

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APCD Safety Conversation

Warning

The local asset manager is responsible for the delivery of 'Safety Conversation' within their area, to:

- The local asset manager is responsible for the delivery of the 'Safety Conversation' within their area.
- A programme for 'Safety Conversation' (briefings and discussions) should be compiled and made available to staff

Information

A number of tool box talks are available to assist managers with briefings during the safety hour. These can be found in reference document R0098 Guidance and material for giving tool box talks.

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Related documents

📄 **R0098 Guidance and material for giving tool box talks**

Booking staff training

Important Note – LU Customer Operations: The contents of this Handbook page are currently under review. This does not mean that the content is invalid and TfL Risk and Assurance Team continue to audit practices against this.

You must contact <u>NIST</u> for any further clarification or queries.

Information

There are different types of staff training:

- courses the administrator can book in SAP
- courses such as first aid and external courses, which are booked through HR Services
- AP safety, signals and permanent way courses which are booked through AP Asset and Safety Training
- Fleet courses which are organised through the local lead trainer
- promotional courses, which are booked through <u>Establishment Planning Resourcing team</u>

Identifying training requirements

You must:

- run a competence management system Assessor report in SAP to see when staff continuous development programme training is due
- run an expired / expiring / missing qualifications report in SAP each week to see when other training is due (e.g. NR Track course etc.)
- book courses at least six weeks in advance, where possible, to make sure places are available

You must ensure that staff receive a pre and post-training briefings from their employing manager.

LU Operations

(Excluding frontline trains, stations and service control roles)

- review the Skills Development training demand plan for the number of places allocated to your area
- compare the number of places allocated with the number of places required, and advise LU Learning if there is a difference
- advise LU Learning of any medical restrictions or special requirements for staff when booking courses
- make sure you cover the duties of staff booked on courses when compiling the advance duty cover in the business recommended operating system
- recruitment and training for frontline operational roles in trains, stations and service control are managed by the Establishment Planning Resourcing team

Giving course details to staff

Information

In all cases, SAP auto-generates joining instructions. Where there is an email address for the individual, these are sent direct to their inbox. If there is no email address for the individual, they are sent to the Administrator/Training Coordinator to send on. In the small number of cases where the person attending the course is external (e.g. a contractor) then SAP alerts LUSD to send the joining instructions through the post to these individuals.

For all training, if the member of staff has an e-mail address stored in SAP, joining instructions will be e-mailed directly to them.

During the transition phase some training co-ordinators in support directorates still use the ex Metronet process sending a completed training request form to the Metronet Rail Safety Training mailbox to book training.

The training coordinator is sent a spreadsheet of course availability each week. For all other training a booking is made by telephoning HRS.

You must send the joining instructions generated by SAP as soon as possible to give course details to staff in writing.

Reviewing course bookings

You can review a member of staff's past and current course bookings in SAP.

Changing course attendees

Information

If a member of staff cannot attend a course they are booked on, you might be able to send another member of staff who requires the same course. This can be easier than cancelling one person and booking another.

You must contact the booking agent (LU Learning, HR Services, or local training administrator) if necessary, who will make the change for you.

Cancelling course bookings

If you are cancelling a delegate attending a course at short notice, you must:

- tell the booking agent (LUSD, Human Resources Services, Asset Performance, Asset and Safety Training or local training administrator) by e-mail or phone, as applicable
- cancel the delegate's attendance in SAP, if this has not already been done by HR Services
- give the member of staff a duty or absence using the appropriate business operating system

Information

LUSD and Asset Performance's Asset and Safety and Fleet training might be able to offer the course to another member of staff.

Changing course dates or location

If you need to change the date or location of a course for a member of staff, you must e-mail the details to the booking agent, as applicable, who will make the change for you, or alternatively contact Human Resources Services on auto 1729.

Non-attendance at training courses

Warning

You must record in SAP non-attendance at, or lateness for, training.

Information

Reviewing course bookings

You can review a member of staff's past and current course bookings in SAP.

Information

Changing course attendees

If a member of staff cannot attend a course they are booked on, you might be able to send another member of staff who requires the same course, by replacing them on SAP via human resource services. This can be easier than cancelling one person and booking another.

You must contact the booking agent (LUSD, Human Resources Services, Asset Performance Asset and Safety Training or local training administrator) if necessary, who will make the change for you.

There are different types of staff training available:

Information

Staff self help

Computer based training modules available through the ezone. A catalogue of topics available can be found by logging into the ezone online learning.

Information

Where a member of staff is moving to a higher level of track certification, the medical requirements described in the [LU Medical Assessment page](#) must be followed.

Chief Operating Officer's Directorate:

Information

Courses the administrator can book in SAP:

LUSD courses for Stations, Train and Service Control – showing the status 'open''closed' courses (such as Network Rail training), need to be booked through Human Resource Services Telephone: Auto 1729 (0800 0155 071). Rolling stock courses for the Chief Operating Officer's directorate are organised through the local lead trainer, whilst promotional courses (for Trains, Stations and Service Control), are booked through [Establishment Planning Resourcing team](#).

You must:

- advise LUSD (Demand Planning Manager) of any medical restrictions or special requirements for staff when booking Skills Development courses
- i it is required, make sure you cover the duties of staff booked on courses when compiling the advance duty cover in the appropriate business operating system

Asset Performance

Information

Safety, signals and permanent way courses are booked through Asset Performance Asset and Safety Training, by the designated booker from each location. The courses available include:

- Lift and escalator machine room awareness
- Track plant
- Track skills
- Track health and safety, Track critical licensing
- Signals programmes for London Underground/Asset Performance/Signalling technical grades
- Legacy and Upgrade Signalling systems encompassing:
- Mechanical, Relay and Westrace Interlocking
- Pneumatic and Electric Point mechanisms
- Analogue and Digital track circuits
- First Line Fault diagnostic and rectification
- Corrective and Preventative maintenance
- Equipment room awareness (QAF 54)Safe Systems of Work on Electrical Equipment

For Fleet training contact the Fleet Training manger on: Auto 48076 or (020 7918 8076) for further information.

You must advise Asset Performance Asset and Safety Training of any medical restrictions or special requirements for staff when booking asset and safety training courses.

Information

London Underground Combined Access Scheme (LUCAS)

For further information on how to obtain a LUCAS card see the [Providing Access and Logistics handbook](#).

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HR services

08000 155 071 Auto 1729

Contact

▶ **Establishment Planning Resourcing team**

Related links

▶ **NIST - LU Operations SAP guidance – Licensing and Qualifications**

▶ **London Underground Medical assessments**

▶ **LU Learning**

Related documents

📄 **Providing Access and Logistics handbook**

Budget monitoring

Financial reports

Information

There are reports within the SAP Tools menu, which provide a useful source of financial information. You will need your cost centre number to access these reports.

Headcount, periodic spend and annual spend reports

You must:

- check these reports once each period
- tell your business accountant of any anomalies you wish them to investigate

Information

For a complete picture of the period spend, SAP reports should be run six working days following the period end. Payroll information can be accessed well in advance of this date.

Salary breakdown

You must check this report once each period to make sure there is no one included that you think should not be charged to your cost centre.

Warning

You must contact LU Resourcing or HR Services if you find a person that has been allocated to your cost centre in error.

Information

You can access this report in SAP, as follows: My Cost Centre > Budget > Salary Breakdown.

This report shows a breakdown of salary for employee charges to your cost centre by basic pay, allowances, overtime, national insurance and pension fund.

Overtime tracking

You must check this report once each period and check that it corresponds to the overtime records for your employees.

Information

You can access this report in SAP, as follows: My Cost Centre > Budget > Overtime Tracking.

This report shows a summary of the total hours and associated costs of overtime of your employees in your cost centre. Further information (Customer Operations only) on overtime management can be found in [Managing customer service handbook](#).

Spend by supplier report

You must:

- check this report once each period
- check the amount you spend with each supplier

Information

You can access this report in SAP, as follows: My Cost Centre > Budget >Spend By Supplier

This report shows a summary of the total spend with each supplier by your cost centre.

Period end dates

You can find a list of [period end dates](#) on the intranet.

Forecasting

You must tell your business or project accountant about any sums of money in excess of £1000 you plan to spend in the current financial year, so the details can be included in the forecast.

The forecast is essentially your best assessment of what you will spend during the course of the financial year, taking into account any changes to the activities since the budget was formulated. The forecast is prepared regularly.

Information

The budget is a plan of the activities of a particular department expressed in financial terms. It is prepared at the start of each financial year.

Warning

You must be aware of what is in your annual budget, and actively seek to deliver cost savings where possible whilst maximising value for money. These efficiencies must be identified and reported in the forecast.

Accruals

All costs (and income) must be recorded in the period to which they relate. Ideally, an invoice for all goods and services received will be registered within SAP in the correct period.

If you are aware of any item that you have received that has not yet been recorded within SAP you must inform your business or project accountant. They will make a provision for this in that period's results.

Information

This is critical at year end (31st March) so that the annual accounts can be correctly prepared. Failure to inform your unit management accountant will mean costs for your area will be understated for that year. This will result in the charges falling into the following year's figures.

Financial checks – Customer Operations

You must use the reports and documents in the relevant finance and headcount system checks for [Line Operations](#) or [Customer Services](#) each quarter to help you monitor expenditure and meet your budget requirements.

In addition, you must run the combined cost centre manager report each period and monitor overspend against budget, taking remedial action as necessary.

You might be asked to discuss aspects of the financial checklist with your performance manager at folder meetings.

Information

The following items are covered in the financial checklist:

- leave
- overtime
- utilisation of staff
- ticketing
- miscellaneous

Warning

Some reports are only available in SAP R3. You must ask your Centurion Administrator to run these reports for you.

Information

The week's generated weekly display sheets (WDS), the seven daily booking on sheets and/or signing on sheets, daily variation sheets and all supporting documentation should be reconciled against the following SAP reports:

ZHR_TFL_P2001 (Absence Audit Report)
ZHR_TFL_P2002 (Overtime and Attendance)
ZHR_TFL_P2010 (Employee Remuneration)

They must be certified as correct by the centurion (or Deputy) as a true record of the past weeks' time and attendance SAP inputs by the administrator.

Information

The absence audit report ZHR_TFL_P2001 will display staff that have been recorded as either on authorised absence (I.e. annual leave or unauthorised absence (i.e. sick).

Warning

All SAP input audit reports and payroll documentation must be retained for audit purposes. These reports protect you, your manager, the business and the employee.

Leave

You must check:

- SAP report ZHR_ROTL_RPT to ensure that upcoming annual leave periods have not become oversubscribed since leave was allocated in August for the following year. Leave periods should only become oversubscribed if staff have transferred in during the current year

-

- SAP report ZHR_BRD_ADJUST_RPT to ensure any banked rest days lost have been actioned and deducted. All duty managers, service control and station staff have banked rest days. Staff transferring from a BRD eligible position to a non-BRD eligible position (stations to trains and vice versa) will have to have their leave entitlement in SAP adjusted.
- Duty Managers will have a BRD indicator in their roster, this will need to be booked as annual leave by the Manager via the SAP portal or via the administrator, otherwise the leave will not be deducted.
- that leave is entered in SAP and cross checked with SAP report ZHR_TFL_P2002 – Overtime and Attendance Input Audit, to ensure no overtime has been incurred due to annual leave being granted
- daily variation sheets to see if special leave has been granted as paid or unpaid and crosscheck with SAP report ZHR_TFL_P2002 – Overtime and Attendance Input Audit to ensure that no unnecessary overtime has been allocated to cover the duties

Information

The overtime and attendance audit report ZHR_TFL_P2002 will display staff who have been recorded as having an attendance (i.e. training, attended a medical, worked overtime etc.).

Overtime

You must check:

- the SAP weekly display sheets against SAP report ZHR TFL P2002 Overtime and Attendance Input Audit to ensure that where overtime has been paid out, there were no spare members of staff on duty
- the Weekly Remuneration Report (ZHR TFL 2010) to monitor Higher Grade Working Payments (HGW), 12 Weekly Cycle Payments (Stns) and any other ad-hoc payments that have been made
- daily variation sheets to ensure overtime is being allocated to correct grade of staff i.e. SS or MF not covering CSA duties when a CSA is available
- daily variation sheets to ensure that where overtime has been necessary, it has been offered as per the current framework agreement

Information

The employee remuneration audit report ZHR_TFL_P2010 will display staff who have been higher grade working (HGW), higher grade working overtime, reserve staff 12 weekly over hours payments, remote booking on/off overtime etc.).

Utilisation of staff

You must check:

- the weekly shift plan to ensure the most important (critical) shifts are covered first
- the daily variation sheets to ensure 'non-essential' duties are not being covered on overtime – such as, did the whole duty need covering?
- SAP report ZHR_DUTY_HOURS to ensure pool hours are not greatly over or under contractual hours (trains)
- SAP report ZHR_12_WEEKLY_CYCLE to ensure reserve hours are not greatly over or under contractual hours (stations)

Miscellaneous

You must check that:

- any scheduled staff taxis not required have been cancelled
- you are aware of and agree with the reason for any special taxis booked
- any duty crew taxis not required are cancelled
- mobile phone / blackberry bills are not excessive

- you are only paying mobile phone / blackberry bills allocated to your cost centre

Information

You can check the Employee list in SAP to ensure you are not paying salary, mobile phone bills and so on for staff who no longer work in your area.

Warning

If you are paying a mobile phone bill for a member of staff who has transferred to another location you must contact HRS to find out where member of staff is now working. You must then arrange with telephone services to reallocate the bill to the correct cost centre.

You must also check:

- a sample of procurement invoices to ensure they are correct for your cost centre and you are not paying for assets or items you no longer have
- any uncollected items of uniform have been returned
- no excessive / unnecessary uniform requisitions have been made
- no excessive amounts of stationery have been ordered
- energy consumption is monitored
- if you have a pool car, petrol receipts tally with mileage shown in the logbook

Warning

Booking of taxis for the Christmas period for staff incurs a huge cost. You must make sure that taxi requirements are sent to NOC in good time so they can schedule taxis in a way that minimises costs.

Talk to HR

[Contact details](#)

Related links

▶	LU Resourcing

▶	Managing customer service handbook

Related documents

📊	Period end dates

📄	Line Operations

📄	Customer Services

Change control

▶ Principles and safety review	▶ Concessions, queries to standards and temporary...
▶ Maintenance activity changes	▶ Ellipse changes
▶ Engineering change control	▶ Engineering changes to rolling stock
▶ Naming of operational buildings	▶ Control and information changes

Charity collectors and buskers

The Charities team - Information

The Charities team in the TfL Customer Service Centre deals with enquiries about charity collecting. You can contact the Charities team as follows:

- on [TfL Customer Service Centre](#)
- [internal e-mail](#)

Collecting money at stations - Information

The following groups can apply to collect money at LU stations:

- registered charities
- schools
- religious groups
- hospitals
- carol singers or festive music performers (during December only)

Information

These groups must contact the TfL Customer Service Centre for authorisation four to six weeks before the day on which they wish to collect. If their application is accepted, the Charities team will issue them with a letter of authority, and include details on the period report and LU intranet.

If a charity collector approaches you directly for authority to collect at your station, you must refer them to the TfL Customer Service Centre.

If a charity collector arrives at your station without pre-arranged authority to collect, you must either:

- ask the TfL Customer Service Centre for guidance, or
- not allow them to collect money on your station

Notification of collections - Information

If charity collections are scheduled at your station, the TfL Customer Services team will supply details electronically to allow signing in as per Rule Book 10.

During the collection

When charity collectors arrive at your station, you must make sure:
- they sign in before starting to collect
- a safety briefing is given to them when they sign in
- they sign out when they have finished collecting

You must make sure that charity collectors only collect in the ticket hall area, clear of lifts, escalators or ticket gates. They are not allowed to collect on trains.

You must ask any charity collector who refuses to comply with these restrictions to leave the station.

If you need to impose any restrictions on charity collectors at your station, you must tell the TfL Customer Service Centre before the day of the collection.

Buskers - Information

The TfL Busking Scheme Management deals with enquiries about buskers.

Station staff can access the busking booking schedule for their specific station to see who will be attending pitches in their location.

Information

Buskers are issued with a licence showing the following:

- the busker's name
- their licence number
- an expiry date
- a photograph

Controlling access

You can allow buskers to perform at your station if they:
- have a valid licence
- Have booked a pitch, or are requesting to play at an empty pitch that has not been booked and remains free (within pitch opening times)

The details on their licence must be checked to confirm the identity of the individual matches the licence. If these agree, the busker can be allowed to sign.

If any of the following apply, busker must not be allowed to sign in and you must tell the TfL Customer Service Centre (whichever is applicable):

- the busker has no licence
- the busker has an out-of-date licence

Conditions - Information

Buskers are required by the terms and conditions of their licence to obey the instructions of operational staff, particularly in relation to safety and security. This includes:
- turning down the volume of their amplifier when requested
- leaving the station when requested
- following the evacuation procedure during an emergency

You can ask a busker to leave the station if they:

- do not abide by the conditions of their licence, or
- are abusive, or
- appear to be under the influence of alcohol or drugs

Incidents

You must tell the TfL Busking Scheme management the details of any incident involving a busker.

You can also call any of the following to resolve an incident with a busker:

- the Tactical Deployment team
- the British Transport Police
- Police Community Support Officers

Checking busking pitches

You must arrange for station staff to check the floor graphics of busking pitches at your station, and to report any instances of peeling or lifting to the TfL Busking Scheme management.

Contacting scheme management

The TfL Busking Scheme management can be reached by emailing buskers@tfl.gov.uk.

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Contact

▶ **Charities team internal email**

Related links

▶ **TfL Customer Service Centre**

▶ **Fault Reporting Centre**

Concessions, queries to standards and temporary approved non compliances

Concessions

Information

Concessions provide the mechanism where we record the reasons why we are not able to meet London Underground (LU)Standards' requirements, propose alternatives and assess/mitigate risks. LU Standard S1641 "Concessions to Standards" provides this mechanism. The procedure PR0404 'Submitting, Reviewing and Approving Concessions Using the Concession Management Tool' also provides the step-by-step instructions on how to follow the concession process.

The Requestor must complete and submit Concessions to the relevant Nominated Person via the Concession Management Tool. The Nominated Person shall review and if completed correctly, submit the concession via the Concession Management Tool to the Standards Management Team (SMT) for review. The SMT will review Concessions on receipt and if completed correctly shall pass the Concessions to the relevant Responsible Manager for review. The Responsible Manger shall review and either grant or reject Concessions.

External Suppliers

The new Concession Management Tool (CMT) is only accessible by LU/TfL staff. If concessions are required by external Suppliers, their contact/sponsor in LU/TfL must email them the Concession request form template F6049 to write the Concession. The Supplier must write the Concession using this template and return the written concession and any supporting documents back to the LU/TfL sponsor for formal application.
The LU/TfL contact/sponsor must then make the formal application for the concession on the CMT using the concession template and supporting documents submitted by the external Supplier.
Refer to procedure PR0404 for details.

Information

Only Concession Requests originating outside TfL should follow the steps in this section.

Refer to the [CMT Manual Import](#) guidance document for advice on how to use the Concession Management Tool. If anyone requires additional support using the Concession Management Tool or have difficulties logging in, please contact ConcessionsToolHelpdesk@tfl.gov.uk for help.

Information

You must apply for a concession if you cannot comply with the requirements of applicable Standards.

If you are working on a project, you must only apply for Concessions to Standards after the scope of work is fixed and you know which Standards or parts of Standards, relate to that scope e.g. Standards inform but do not drive the scope of work.

When planning to submit your Concession, allow a minimum of 15 working days for the Concession to be reviewed. Complex Concessions could take longer.

If you are working on a project, you must only apply for concessions to Standards after the scope of work is fixed and you know which Standards or parts of Standards, relate to that scope e.g. Standards inform but do not drive the scope of work. You may find the following documents helpful:

[S1641](#) Concessions to Standards

[Location Codes for Stations](#)

[Concessions Index](#)

[Legacy Concessions database](#)

If the concession is granted conditionally, you must

- ensure that the conditions are regularly reviewed
- provide assurance that the conditions are being managed until such time that full compliance is achieved, and
- ensure that risks associated with the concession are managed to ALARP.

Warning

- You must have a competent safety person review the safety implications of the concession
- Identified risks and mitigation measures must be recorded. "No safety implications" must also be recorded and justified
- You must have the consent from a registered nominated person for your concession

Information

If you require a concession for a Lift or Escalator, you must, follow the concession work instruction W0167 and apply for the concession using Form F0530.

Information

If you require a concession for the use of a batch of materials that are not to Standard or Specification as an interim measure, then you must follow the Rolling Stock Materials Concession Standard S2180 and complete the associated form F0639.

Warning

Concession requests that have not been approved must not be implemented.

Queries to standards and Written Notices

Queries to standards are managed in accordance with Category 1 standard S1646 Query to Standards. If you require a specific clause to be clarified, you can submit a query to standard form to the Standards Management Team. An approved clarification is normally issued as a written notice which subsequently becomes an integral part of the relevant Standard.

Temporary approved non compliances (TANC)

A TANC is used to assess whether an asset may temporarily remain in service after the discovery or the introduction of a non-compliance with London Underground's Standards which needs to be regularised straightaway. It is used extensively by track and to a lesser extent by signals and power and occasionally by others. For further information refer to Standard S1642 Temporary Approved Non Compliances Authorised Persons (TANC-TAPs)

Warning

You must provide documented evidence that the non-compliant asset can remain in service and that a risk assessment, to support the decision made, was conducted by a TANC authorised person (TAP) as described in category 1 Standard S1642 Temporary Approved Non Compliances Authorised Persons (TANC-TAPs)

Information

If you have any questions regarding standards, contact Standards Management Team.

Related documents

| 📄 | S1641 Concessions to Standards |

| 📄 | PR0404 Submitting, Reviewing and Approving Concessions Using the Concessio... |

| 📊 | Location Codes for Stations |

| 📊 | Concessions Index |

Concession work instruction W0167

L&E concession request form F0530

Rolling Stock Materials Concession standard S2180

Rolling Stock Materials F0639

S1646 Queries to Standards and Technical Specifications

Query to standard form

Written notice

TANC Track F1074

TANC Signals F0601

TANC Power F2850

S1642 Temporary Approved Non Compliances Authorised Persons (TANC-TAPs)

Contact

Standards Management Team

Related links

▶ **Legacy Concessions database**

HANDBOOKS FOR ALL LU MANAGERS

Conditions of release for representatives

Information

TU representatives must be released from duty as specified in the [Agreement relating to time off for union duties and activities](#).

Information

Union duties are for LU-related business. This is paid release as long as it is with prior management agreement.

Information

Union activities are when a representative undertakes business exclusive to their relationship with their union. This is unpaid.

Information

Release is paid for certain Trades Union Congress courses as specified in the 'release arrangements'. For continuous courses, if a session is not running (for example, if the college is closed for half term), the member of staff must make arrangements to attend their rostered duty on that day. Staff who do not attend their duties will be regarded as being absent from work.

Information

The ER Intranet pages provide [detailed guidance on release](#) for trades union representatives for each of the staff functions.

Checking the conditions for release from duties

You must use the information on the [ER trades union representatives release arrangements](#) to confirm when trades union representatives should be released from their duties. All such releases that you have agreed must be recorded.

Granting unpaid release

Unrelated courses

You must seek advice from ER regarding release for courses not directly related to the representative's role.

Trades union activities

As long as your representative has used the proper request process, and you can meet the needs of the business, you can grant unpaid release for:

- the Trades Union Conference and Congress
- the Labour, Conservative, Liberal Democrat or other political party conference
- the South East Region of Trades Union Congress
- trades union branch meetings
- trades union district councils and committees

You do not have to apply the 12-hour rest rule, or give alternative annual leave or rest days, when granting unpaid release for TU activities.

Reinstating leave or banked rest days to attend meetings

Information

Reinstatement of annual leave or banked rest days will only be granted when the attendance of a trades union representative at a meeting is at the express request of management.

However, annual leave or banked rest days will not be reinstated for:

- trades union meetings which do not have management involvement
- trades union representatives who hold meetings on their rest day
- a representative accompanying a member on a local or company disciplinary interview

Information

To allow time for authorisation, requests for reinstatement must be made in advance, where possible giving 14 days' notice.

Information

Local TU representatives are required to take their rostered annual leave during the current year. Compensation for leave not taken during the previous year will not be granted when a representative leaves office and has not used their allocation of leave.

Releasing representatives to attend Trades Union Congress courses

Information

If a train operator is a member of a depot syndicate, they are still subject to the management release agreements for attending courses. There are no depot variation conditions.

Information

Rest day working or overtime must not be paid for representatives to attend courses.

Applying 12-hour rest before duty rule

You must apply the '12-hour rest before duty' rule when the representative is:
- on an advanced booked duty, or
- on a training course for one week

Information

12-hour rest does not need to be applied if the representative:
- arranges to change their duty when they have previously been released to attend a course
- volunteers for rest-day working the day before a booked course (this does not apply to train operators)

Releasing representatives working nights

If a representative attending a course during the day is either rostered or covering nights for the week, you must release them for two nights.

If the representative changes over for nights, you must only release them for one night.

Reinstating leave or banked rest days to attend a course

You must reinstate a rostered rest day which falls on a day the representative was released to attend a course. You must agree with the representative when the day will be taken.

You must not reinstate the rest day if the representative arranges to changeover their duty once they have been released to attend a course.

You must not reinstate leave if a member of staff booked on a course changes to annual leave on the day of the course.

Releasing representatives for disciplinary interviews

Information

When a representative requests time to prepare for a member's local or company disciplinary interview, discretion should be used when deciding the appropriate amount of time needed based on the complexity of the case. ER can provide guidance.

If a representative requests time to accompany a member to a disciplinary interview, you should:
- release them from their whole duty for company disciplinary interviews
- release them until the conclusion of a local disciplinary interview
- remind them that they need to have their uniform with them to wear when they return to work following the interview or prior to the interview taking place

Releasing representatives for less than a shift

If a representative needs to be released for a task which will not need a full shift, for example to review a report, you must:
- consider the most appropriate time to release the representative
- allow them enough time to carry out the task
- remind them that they will need their uniform with them for normal duties before and after the meeting

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Related links

▶ Trade union representative release arrangements

Connect radio

Information

Handportable radios must be controlled to ensure:

- Security and safety are not compromised
- Each radio will work as required
- Resource is not wasted – there is an annual maintenance cost for each unit, whether working or not
- Radios are deployed where needed

Warning

Unless specifically agreed, in writing by the Connect team, hand portable radios allocated to a business unit must remain controlled by that centurion/business unit's manager. Hand portable radios should not be retained by individuals that transfer from one business unit to another. Examples include but are not limited to;

- If a T/Op moves from one train crew location to another, they should return the hand portable to that location and will be issued another hand portable radio at their new train crew location
- An Area Manager moving to a new location should handover their personal issue hand portable to the new Area Manager and take ownership of the Area Manager's hand portable radio at their new location

Hand portable radios are programmed for specific roles or areas and should only be used in these roles or areas. Hand portable radios allocated to staff on a shift by shift basis should be recorded with date/time/name/shift details (if applicable) when issued/returned. Managers with access to Vivatrak will be able to check which hand portable radios have been issued to their specific locations. Any queries should be directed to the Connect Performance Team at SMBConnectRadioAudit@tfl.gov.uk.

Please Note

The centurion/business unit's manager/ Area Manager/ Trains Operations Manager or equivalent should appoint a Connect radio champion and advise the Connect Team of this appointment. The centurion manager or equivalent, however, remains accountable for the ownership of and the process of controlling these radios.

Damaged radios or equipment

If a radio or other piece of equipment, for example, a battery or speaker, is damaged it must be immediately reported to the appropriate FRC/ LUCC Assets team who will arrange to repair the unit or send out a replacement.

(LMS Process) Lost or stolen radios

If a hand portable radio is lost or stolen, this should be reported immediately to the centurion/ business unit manager and the following process followed.

- Complete an EIRF giving all the appropriate information, such as radio number, staff number, responsible manager, location / team / department, details of the incident and email a copy to ConnectLostRadios@tfl.gov.uk. **PLEASE DO NOT CONTACT THE FRC**
- The Connect Team will then carry out a system check to confirm where and when the hand portable radio was last active on the TfL estate / network
- The above details will be passed back to you to attempt to locate / retrieve the radio
- If confirmation that the radio has been located is not provided within 7 days, Connect will disable the radio and inform the reportee
- A decision will then be made on whether a replacement will be provided free of charge, or if a new radio order will be required
- The Connect Team will update the reportee on their decision

Please Note

Replacement of lost/missing/stolen radios will be at the discretion of the Connect Contract Manager in consultation with the manager responsible for the team / Area that reported the radio missing.

If your hand portable radio is defective, please report to the FRC in the normal way.

Personal Issue   Staff transferring out

Hand portable radios should not be retained by individuals that transfer from one business unit to another.

Where individually issued (for example, to a train operator), the Connect hand portable radio must be collected from the member of staff before they leave that location.

Personal Issue - Staff transferring in

When a hand portable radio is issued to a new staff member, the details must be recorded and signed for.

Please Note

- Spare hand portable radios must be recorded and kept in a secure location
- Any hand portables that are no longer required should be returned to the Connect Team at Room 619, Ground Floor, Alsop Place, Baker Street Complex

Radio Inventory

The Connect Performance Team will provide an inventory of hand portable radios issued to your location via the Vivatrak hand portable tracking system or an inventory spreadsheet. All centurions/ business unit managers must undertake an annual audit check to:

- ensure that all radios are correctly recorded as allocated
- confirm the number of spare hand portable radios available
- determine the number of radios damaged, lost or stolen
- ascertain if any radios are missing or otherwise unaccounted for. These must be dealt with as per the LMS process above

The findings of your audit check must be recorded and returned to the Connect team. You must undertake the audit between 1st October and 1st December

every year. Please email SMBConnectRadioAudit@tfl.gov.uk to confirm you have completed your audit.

Please Note

To request access to the Vivatrak Hand portable tracking system, send an email to SMBConnectRadioAudit@tfl.gov.uk and provide the details below:

- Name
- Job title/ Role
- Email
- Business Unit/ Area
- Connect Radio Champion
- Location
- No of Hand portable radios assigned (if known) & ISSI numbers

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Related links

▶   **Connect Radio team**

Contractor liaison

Information

The main types of work undertaken by contractors for London Underground are:

- planned maintenance and repair work
- responding to faults
- minor or intermediate work
- planned work as part of a project or upgrade programme

The station access planning manager

Information

The station access planning manager is your contact for all station access issues.

Information

The station access planning manager role is to facilitate the delivery of effective and efficient station access whilst minimizing the impact on customer service delivery.

The station access planning manager provides assistance to Centurion management teams by:

- effectively planning work on stations
- clearly communicating access arrangements between group management, station staff and contractors
- organising signing in arrangements to deliver more efficient work for LU in terms of time and money
- reducing frustrated access claims against LU
- arranging for work to be carried out during the hours of customer service, ensuring risks have been sufficiently mitigated
- facilitating additional working time on stations

The station access planning manager will:

- Review and approve requests for access to LU Infrastructure
- manage the Operational Assurance Notification (OAN) process
- assist with the production of access/egress plans
- investigate all incidents relating to station access, including denied/frustrated access and contractor conduct
- manage all queries relating to Station Access

The operational task manager

Information

The operational task manager will:

- co-ordinate project work in your area to enable you to focus your efforts on maintaining day to day operations
- liaise with the designers, upgrades and projects teams
- consult on and formally accept the human factors integration plan

Information

The operational task manager is the user acceptance manager for the completed work and can provide support and advice on the work.

Information

The operational task manager can advise on:

- who to involve and where to seek advice on issues such as safety and engineering
- training and familiarisation requirements, making sure they are included in the project plan
- liaison with health and safety representatives
- the application of procedures and standards

Information

The operational task manager will also:

- represent the Chief Operating Officer at project meetings
- prepare and maintain the operational concept document for the work

- arrange meetings with operational staff
- provide operational staff with information about the work

Centurion responsibility for contractor liaison

Information

Your main responsibility when contracted work is taking place within your area is to understand and minimise the effect on the customer service and staff.

Information

The extent of your involvement in the work and the application of this handbook will depend on the complexity and risks associated with the work.

Information

The station access planning manager and operational task manager can provide support and guidance where necessary.

You must:

- liaise with parties involved in the work, including attending access or pre-start meeting for the work
- make sure safety measures associated with the work have been implemented and that Compliance Fire Plans are up to date
- sign the Application for Changes to Fire Safety Measures form to accept the works being undertaken

You must also:

- review and update risk assessments and implement the actions identified
- update congestion control and evacuation plans
- approve the storage of materials and equipment

[Managing customer service handbook](#) provides details of what to do when station or train service closures are required.

Before the work begins

Information

For significant station projects an Operational Task Manager will normally be appointed and will organise a pre-start meeting with the relevant stakeholders.

Information

For all other station and track works the Station Access Planning Manager will organise the pre-start meeting with the relevant stakeholders.

You must attend pre-start meetings (or appoint a suitable representative) to discuss:

- the health, safety and environmental impacts of the work
- the precautions and controls related to the work

You must discuss applicable work processes, such as:

- hot working (which might create an additional fire risk)
- isolation of fire detection and suppression equipment
- asbestos removal
- erection of hoardings, or any changes to entrances, exits or escape routes
- movement of materials on lifts and escalators
- space allocation and the storage of materials and equipment form
- worksite inspection and monitoring

Additional fire safety measures are described in the [fire safety section](#) of this handbook.

You must also discuss any environmental concerns, such as:

- lighting
- noise
- dust suppression
- waste disposal

You must confirm general items such as:

- the work programme
- access arrangements and work start and finish times.
- work which could affect the reopening of the station or line
- secondary revenue, including hoardings covering advertisements

- worksite security and house keeping
- the provision of temporary services or facilities, including accommodation for staff
- welfare facilities for contractors

Information

Contractors working on London Underground premises are required to make appropriate access bookings. They must have either:

- a Site Access Booking for Railway Engineering (SABRE) number for planned work or general access, or
- a Fault Report Centre (FRC) number for fault repair work

Information

Where the work could have an impact on station or train operations, an approved operational assurance notification will be required in addition to a SABRE number.

Information

Details of planned works, including SABRE numbers, are published in the:

- Engineering Works Look Ahead and Engineering Notice for track works
- Planned Works and General Access Report for stations and track
- SABRE.net Enquiry via Heartbeat

You must make sure your staff are fully informed about the work and the effect it will have on the location.

You can assign responsibility for liaison with contractors to station supervisors or duty managers.

During the work

Information

You will receive updates throughout the work to enable you to minimise the effect on the railway.

You must:

- maintain an overview of the work as it progresses to be aware of any changes affecting the railway
- attend liaison meetings with the contractor and other involved parties
- contact the operational task manager, where appointed or the Station Access Planning Manager for assistance with the resolution of any disputes or disagreements with contractors or stakeholders
- make sure risk based inspections and monitoring are undertaken, including, as appropriate, Planned General Inspections (PGIs), station checks or additional planned inspections introduced because the work increases the safety risk
- manage staffing levels and training required as a result of the work
- check that contractors sign in and out of the site
- monitor the storage of materials and equipment

You must deal with any incidents related to the work, as detailed in Safety, security & environment handbook.

When the work is completed

Information

When the work is completed, you will receive confirmation that all relevant precautions have been taken and that assurance is in place for assets that are commissioned and fit for use.

Operational Assurance

Information

An approved Operational Assurance Notification (OAN) is required to prior to any planned works commencing which are 'likely to impact on train or station operations' (This does not apply to emergency work or reactive faults).

Information

It is the responsibility of the LU Access Team to review and approve OANs on behalf of Landlord Managers before works start on site.

All work requests to access LU infrastructure are now processed through the LU Access Team as part of the Access Process.

The Station Access Planning Manager / Infrastructure Planning Manager will review all work requests to:

- make sure that suitable measures are in place to mitigate safety risks to customers and staff
- consider the operational impact of the work
- consider the impact on trains services
- consider the impact on station assets
- ensure the work is being planned efficiently (i.e. could it be done in Traffic Hours as opposed to engineering hours)

If the application does not contain the required information the station access planning manager will contact the submitter and request further information.

The Station Access Planning Manager / Infrastructure Planning Manager may liaise/consult, as appropriate, with subject matter experts in order to approve an OAN.

Operational Assurance Notifications

Once an OAN has been approved by the Station Access Planning Manager / Infrastructure Planning Manager a copy will be emailed to:

- the submitter of the OAN application
- the Landlord management team
- the Operational Task Manager, if applicable

Landlord Management teams are sent the OAN for information (as a notification of planned works) and are not required to approve the document.

However, if you wish to raise any queries regarding the OAN you must respond to the StationAccessTeam@tfl.gov.uk.

The Station Access Planning Manager will contact you in order to understand your query and liaise with you and the applicant in order to resolve. If any changes are required the OAN will be amended and re-distributed to reflect these changes.

If the Station Access Planning Manager is unable to resolve a landlord query or objection then the matter will be escalated to the Stations Access Manager to resolve with the landlord and/or Line Performance Manager, as required.

In the unlikely event that the matter is still unresolved it will be referred to the Head of Access and Line General Manager for a final decision.

The OAN Process [map](#) shows the end to end approval process.

Related links

▶ **Planned engineering work and closures**

▶ **Fire safety**

▶ **SABRE.net**

Related documents

📄 **The OAN Process map**

Contact

> ▶ **Station Access Team**

Control and information changes

Warning

Engineering changes to control & information assets, including the introduction of new or modified systems, must be managed, recorded and approved in a consistent and systematic manner as described in Assurance Standard S1538.

Information

Engineering changes to control & information assets that do not affect the operational envelope are further controlled through the change to PR0850 – Electrical Systems Engineering Change Control and associated forms F0650 to F0652.

Information

Engineering changes include:
- a physical modification to C&I assets
- a change to a maintenance standard, process, practice, test or interval
- a change to C&I system, equipment standard or setting
- a change to an equipment overhaul or spare part specification or standard
- a temporary change a C&I System to trial or test a proposed system wide change

Information

The nominated Change Manager must:
- manage the process and obtain a change number from the C&I Profession Leader
- draft the change using the template provided and associated forms F0650 Change Request, F0651 Change Approval Certificate, F0652 Change Control Test Record when they are required
- agree approval, with the respective skill head and with the Professional Head of Control & Information
- ensure the completed change package, including (if applicable) has the necessary approvals, including Compliance Certificate and Consent to Test

- liaise with the relevant staff to update Ellipse, the local maintenance regime and training packages

Information

- The Change Facilitator must record, distribute and store the approved (with attachments)
- The Professional Head of Control & Information's representative will ensure that the completed package is stored and distributed

Warning

You must ensure that any changes of specific assets, the maintenance regime or work instructions are captured in Ellipse.

Any changes that are outside the Ellipse "planner" functionality such as asset details, Maintenance Scheduled Tasks or Standard Jobs must be arranged by using the Asset Data Management Function (ADMF) Change Request form.

Warning

The TfL Pathway must be followed for all project-related activities, for example, modifications, equipment upgrades or purchases.

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Related documents

Assurance Standard S1538

PR0850 – Electrical Systems Engineering Change Control

F0650 Change Request

F0652 Change Control Test Record

F0651 Change Approval Certificate

Related links

TfL Pathway

COO shift planning

Important Note – LU Customer Operations: The contents of this Handbook page are currently under review. This does not mean that the content is invalid and TfL Risk and Assurance Team continue to audit practices against this.

You must contact <u>NIST</u> for any further clarification or queries.

Information

The process of shift planning involves making sure all duties are covered according to business requirements, and to manage staff availability into the shift plan.

Warning

Users producing weekly display sheets. To ensure that London Underground will not be in breach of the Data Protection Act (DPA), when running reports, you must leave the 'DPA Complaint' tick box ticked for any sheets that are displayed to operational staff.

Allocating new staff

As soon as an operational member of staff transfers to your organisational unit, you must make sure:

They are put on a roster and all 'leave' and 'attendances' are recorded in the appropriate business operating system.

Accounting for staff

Information

For shift planning you must update the relevant system daily with employee absence and attendance details.

Note: For station staff only; absence and attendance details must be updated immediately in the appropriate business operating system.

Information

In SAP, the following terms are used for specific issues:

- authorised absence for items such as annual leave
- unauthorised absence for items such as sickness
- attendance for items such as training or Occupational Health appointments

Information

In SAP, overtime is termed as attendance.

You must record in planned absences, unplanned absences and attendance in the appropriate business operating system.

Allocating duties

[View the Managing staff available in the shift plan flowchart](). See also [NIST - LU Operations SAP guidance – Shift Planning]() on shift planning.

Allocating duties to station, revenue control and service control staff

Information

Parameters apply when allocating staff to stations.

Further current details relating to conditions of allocating duties are contained in:

- the [Stations Framework Agreement]()
- the [Revenue Control Framework Agreement]()
- the [Service Control Framework Agreement]()
- the [Special Requirements Team Framework Agreement]()

Shift planning for stations

Warning

When doing shift planning, you must be aware of the minimum staffing levels to avoid potential station closures.

You must give staff in Cover Weeks 28 days notice of duties and rest days.

You must also publish authorised amendments to the following week's duties before midday each Thursday, allowing staff on long weekend rest days to be made aware of changes.

Allocating duties to trains staff

Information

The following parameters apply when allocating duties to trains staff:

- minimum shift length, 4 hours
- maximum shift length, 8 hours and 30 minutes (including meal relief)
- maximum rostered aggregate driving spell, 4 hours and 15 minutes
- minimum period between duties, 12 hours

Information

Mutual changeover of duties syndicates exist at many depots to assist train operators who require changeovers from the normal roster for various reasons.

Information

Any train operator can establish a syndicate, as long as they have the agreement of the level 1 committee and this has been minuted. Authorisation forms, known as proxy forms, are signed by the train operators joining the syndicate and countersigned by the train operations manager. This form then allows the syndicate organiser to carry out changeovers on the train operator's behalf.

Information

The Framework Agreements and any other agreements reached at Trains Council must be strictly adhered to by the syndicates. The 12-hour rest rule must be maintained without exception, and there must be no rest day working and no carrying over of rest days to future weeks (with the exception of night duties).

A good practice guide to shift planning and coverage can be found here

Further information relating to conditions of allocating duties is contained in:

- the [Trains Framework Agreement](#)
- the [Professional Train Operators Agreement](#)
- ER agreements – [guidelines for mutual changeover of duties operated by syndicates](#)

Warning

You must be familiar with any local agreements regarding duty cover at your depot, as they vary with each location.

Variations to duties

Information relating to variations and mutual changeovers is contained in:

- ER agreements – guidelines for mutual changeover of duties operated by [syndicates](#)
- the [Trains Framework Agreement](#)
- Payroll controls - [payroll control section](#) of this handbook

You must correctly enter all absences and attendances in the appropriate business operating system according to business guideline and the relevant people notified.

You must regularly run absence, attendance and remuneration audit reports in SAP.

You must use this information for shift planning and any uncovered duties.

Dealing with uncovered duties

Duties that are not covered can lead to station closures or train cancellations due to instances of 'operator not available'. If you have been unable to cover some duties, you must present the authorised SAP generated Uncovered Duties report to the Duty Manager who will decide if and how the duties need to be covered.

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Related documents

📄 Flowchart allocating duties

📄 A good practice guide to shift planning and coverage

Related links

▶ NIST - LU Operations SAP guidance – Shift Planning

▶ List of Collective Agreements

▶ Payroll control

Dealing with customer correspondence

Information 🔗

Customer correspondence is dealt with by the <u>Contact Centre Operations</u>.

Analysis of customer correspondence

Information

The <u>Contact Centre Operations</u> produces reports which analyse the cause of complaints by LU line.

You can ask for ad hoc reports on customer correspondence from the Contact Centre Operations by emailing <u>CCOQAMI@tfl.gov.uk</u>.

If you receive customer correspondence

If you receive correspondence from a customer, you must:
- send it to the <u>Contact Centre Operations</u>
- include with it any information you have which is relevant to the issue raised

You must not respond directly to a customer.

Information requests from the Contact Centre Operations

Information

For correspondence received directly, the Contact Centre Operations will respond directly to the customer if they know the answer.

Information

The Contact Centre Operations will contact you if they receive correspondence:
- which is a staff complaint, or

- where further information is required

The Contact Centre Operations will also contact you when they receive positive feedback about an issue that affects your area. You do not need to respond to such feedback.

If the Contact Centre Operations asks for information in connection with customer correspondence relating to your area, you must:
- acknowledge receipt by e-mail
- investigate the issue and send the requested information to the Contact Centre Operations within five days
- include in your reply sufficient details to answer the issue raised
- tell the Contact Centre Operations if you wish to receive a copy of the response they send to the customer

If it is not possible to provide the requested information within seven days, you must tell the Contact Centre Operations the reason for the delay (this is so they can keep the customer informed).

Correspondence addressed to senior LU management or the Mayor

Information

A quicker response is required for correspondence which is addressed to one of the following:
- LU Managing Director
- LU Chief Operating Officer
- LU Asset Performance Director
- Mayor of London
- TfL Commissioner

If you are asked to provide information for such correspondence, you must send this to the Contact Centre Operations within 48 hours.

Freedom of information requests

You can find information governance processes and guidance.

Previous page

Related links

▶ LU Customer Service Centre

▶ Information governance processes and guidance

Dealing with the press

Information

Where reference is made to 'the press' in this section, this also includes television companies recording news items.

The Press Office

Information

You can contact the [Press Office](#) 24 hours a day, seven days a week.

Information

If the Press Office deal with an issue that affects you, they will tell you what they have said to the press on your behalf.

Information

Where operational staff are involved, the Press Office will liaise directly with the press and tell you what is happening. If you are required to speak to the press, the Press Office will brief you on best practice.

Contact with the press

If anyone from the press contacts you without prior warning from the Press Office, you must refer them to the Press Office.

When the Press Office arranges for you to speak directly to the press, you must follow the guidance you are given.

You must tell the Press Office:
- about any contact you have with the press or with someone you believe might contact the press

- of any activity that could lead to media interest, or for which you would like publicity. You must do this as far in advance as possible
- of any unforeseen event which might lead to media interest. You must do this immediately

You must not:

- give any information to the press without permission from the Press Office
- issue news releases on behalf of Transport for London and LU (only the Press Office is authorised to do this)

Filming by the press

Information

If the press want to film at your location, the Press Office will:

- ask you for permission beforehand
- supervise the filming at your location

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Contact

Press Office

Email: pressoffice@tfl.gov.uk

Auto: 82852 (external dial 0343 222 4141)

Ellipse changes

You must make sure that Ellipse database is always up to date.

Warning

You must fill in an [Asset Data Management Function (ADMF) form](#) and e-mail it to [ADMF Ellipse](#) if you want to

- add new assets and work managements
- change or modify existing assets and work arrangements within Ellipse

You must specify whether it is a data change or a design change that you are proposing.

You must ensure all asset area specific change control Work Insturctions have been followed prior to submitting an Ellipse Change Form to the ADMF.

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Related documents

📄 **Ellipse Data Management and Governance**

Related links

▶ **Asset Data Management Function (ADMF) form**

Contact

▶ **ADMF Ellipse**

Emergency planning and equipment

You must review your plan annually, or:

- in preparation for a planned event
- after a major event or incident
- when instructed to do so by the Contingency Planning team

Warning

You must make sure your local Congestion Control and Emergency Plan (CCEP) remains current and that all employees understand the actions to take in the event of any emergency. You must ensure your CCEP is reviewed annually.

You must also make sure that an up-to-date list of emergency equipment is maintained and checked as part of PGIs (these including Traffic Controller Diagrams.) Traffic Controller Diagrams (TCDs).

TCDs should be checked on a weekly basis by Customer Service Supervisors/Managers against the status report.

The TCD diagram indicates the three elements of each TCD that should correspond with the status report.

Please note that the Issue Status number will increase numerically when the TCD is updated.

For further advice, you can contact the Contingency Planning Team.

Fire Arrangements for buildings (excluding stations)

Information

Buildings that fall into this category are those where London Underground are the Landlord.

Some examples are the London Underground buildings at Barking and Upminster, Train Crew buildings at High Barnett, Power House at Leyon, and Metro land at Rickmansworth etc.

You must ensure that fire alarms in buildings for which you are responsible are tested weekly and that test records are maintained. It is good practice to test the alarm at the same time each week.

Where call points are present then a different device should be tested each week on rotation so that all are tested over a prolonged period.

Fire drills should be carried out for each building at least annually and recorded using the Fire Alarm/Evacuation/Fire Drill report form F0047. Records should be maintained of staff involved in the drill and include details of a debrief. Any conclusions or remedial actions resulting from the drill should be recorded and implemented.

Records of the above should be maintained on site for three years and be available for inspection by the LFEPA or for auditing purposes.

Information

Any instances of a 'live' building evacuation should be recorded in the same manner as a fire drill and can be counted as such for compliance purposes.

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Related links

▶ Contingency planning

▶ Traffic Controller Diagrams (TCDs)

Related documents

📄 Fire Alarm/Evacuation/Fire Drill report form

HANDBOOKS FOR ALL LU MANAGERS

Employee engagement activities

Information

Employee engagement is a critical activity and managers should take every opportunity to discuss key issues with their employees.

Team talk

You must make sure each employee has a team talk briefing every eight weeks

Asset Performance

Team talk briefings are held every four weeks.

You must also ensure that the briefing is logged in SAP.

When carrying out a team talk or team brief, you must use the supporting briefing pack, distributed by the Employee Communications team.

You must refer to this to communicate:
- the latest key organisational messages
- line-based information

You must also discuss local information.

Viewpoint

Information

'Viewpoint' is an annual survey that asks for employee feedback about themselves and their:
- job
- company
- training and development
- working environment

- team
- immediate manager

It also asks employees about:
- equality
- reward and recognition
- the future of the company

Although it is not compulsory for employees to take part, you must encourage all employees to complete the survey.

Information

The results of the survey will help you understand areas where you are performing well and where you need to focus your action. You will receive a report summarising the opinions of your employees.

If you need support to understand the scores and create an action plan, you can contact:
- your Human Resources Business Partner, or
- Strategy and Communications (S&C) Customer & Stakeholder Insight (CSI)

When the results of the survey have been published, you must complete an action plan and communicate that plan to your employees.

For support in communicating to employees the action plan and any actions you have taken, you can contact your local Employee Communications team.

Training

If you require training in any aspect of Organising and Managing your team you should discuss your training need with:
- your line manager
- a Learning and Development adviser

You may also consider registering with "ezone", TfL's online learning portal to access the catalogue of course for your personal and professional development.

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Engineering change control

Changes to assets, including change to their configuration, must support the delivery of the asset management strategy and the asset management plans. To ensure that change is controlled and managed, you must:

- for approved LU programmes, which are a part of the Plan, manage change as directed by the relevant programme board
- follow the change control handbook instructions and guidance under the DRACCT terms of reference (for clarity, changes made under a programme board as a part of the Plan do not need to also pass through the DRACCCT change control except to the extent that all new and changed management system documents must be registered and published through the DRACCT change team)
- comply with LU assurance and verification requirements, including standards S1538 Assurance; S5539 Verification of assurance and S5540 Safety verification
- ensure that any changes to financial authority, procurement authority or delegated contract authority are made in accordance with TfL Standing Orders and requirements for procuring and managing contracts
- follow the agreed TfL Pathway management plan for programmes or projects based on the level of risk and complexity of the work and the procurement handbook. The types of changes managed under TfL Pathway and the procurement handbook include:
  - programme changes
  - project changes
  - contract variations
  - engineering & design changes
- changes to asset configuration and configuration management arrangements
- ensure that all affected management system documentation is updated as required by the change control handbook
- ensure that the asset catalogue is fully updated to reflect the changes made
- ensure that required documentation held in core asset information and is updated to reflect changes made

- ensure that any configuration management plans associated with programmes, projects or maintenance work are informed to incorporate any impact of the change. You must do this in conjunction with the appropriate programme manager, project manager or configuration manager
- ensure that arrangements are made to maintain and operate the changed assets, systems or processes throughout the asset life cycle

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Related documents

S1538 Assurance

S5539 Verification of assurance

S5540 Safety verification

Core asset information

Related links

▶ **The Plan**

▶ **Change control handbook**

▶ **DRACCT**

▶ **Procuring and managing contracts**

▶ **TfL Pathway**

Engineering changes to rolling stock

Warning

Engineering changes to rolling stock, including the introduction of new or modified stock, must be managed, recorded and approved in a consistent and systematic manner as described in the Assurance standard S1538.

Information

Engineering changes to rolling stock are controlled through RS Standard S2180 Section A3.4.1, associated guidance G1100 and are documented using the following forms: F5715, F5716 and F0198. Once produced these are managed by local administrative procedures.

Information

Engineering changes include:

- a physical modification to rolling stock
- a change to a maintenance standard, process, practice, test or interval
- a change to rolling stock system, equipment standard or setting
- a change to an equipment overhaul or spare part specification or standard
- a change to train preparation standard or procedure
- a temporary change to rolling stock to trial or test a proposed fleet-wide change

Information

The nominated Change Manager must:

- manage the process and obtain a CRS number from the CRS Facilitator
- draft the CRS using the template provided and associated forms F5715, F5716 and F0198
- agree approval, with the respective skill head and with the Head of Rolling Stock's representative

- draft a certificate of technical conformance (CTC), if required (refer to [S1538](#))
- ensure the completed CRS package, including CTC if applicable has the necessary approvals, including Infrastructure Manager/Controller approval (if required)
- liaise with the relevant staff to update the Maintenance Management System, the local maintenance regime and training packages

Information

Minor Works Authorisation (MWA)

- For small changes to design arrangements to facilitate completion of maintenance that will be a one-off arrangement or to provide technical endorsement for immediate mitigation actions required by a CCSO the Minor Works Authorisation(MWA) Process may be used (see [S2180](#)) Form [F0219](#)

Information

- The CRS Facilitator must record, distribute and store the approved (with attachments).
- The Head of Rolling Stock's representative will ensure that the completed CTC package is stored and distributed

Warning

You must ensure that any changes of specific assets, the maintenance regime or work instructions are captured in the Maintenance Management System.

Any changes that are outside the Maintenance Management System "planner" functionality such as asset details, Maintenance Scheduled Tasks or Standard Jobs must be arranged by using the Asset Data Management Function (ADMF) Change Request form.

Warning

The [Tfl Pathway](#) must be followed for all project-related activities, for example, modifications, equipment upgrades or purchases.

Related documents

📄 Assurance Standard S1538

📄 RS Standard S2180

📄 Associated guidance G1100

📄 Form F5715 Change to Rolling Stock

📄 Form F5716 The Safety Risk Assessment

📄 Form F0198 Change to Rolling Stock (CRS) Completion Form

📄 Form F0219 Minor Works Authorisation

Related links

▶ Tfl Pathway

Fault Reporting

Reporting and recording a fault

Faults must be reported to the Asset Control Centre.

Information

Faults are no longer accepted via email.

All non urgent faults must be reported via the Mobile Fault App, except for the following:

- issues affecting service or safety
- faults requiring emergency response
- faults relating to:

  - Signalling equipment (including Dot Matrix, VIDS and Platform Edge Doors)
  - Track equipment
  - Toilets
  - CCTV
  - Public Address
  - Help Points
  - Clocks
  - Lifts
  - Escalators
  - Fire assets

The above exceptions and **all urgent faults** must be reported via phone, using the following numbers:

Line	Auto Number

Jubilee	1210
Bakerloo	1220
Central	1230
District	1240
Piccadilly	1250
Northern	1260
Metropolitan/H&C	1270
Victoria	1290

Staff must check the station log book to ensure a fault has not already been reported by their colleagues to the ACC.

When you report a fault have the following information to hand.

1. Asset type, e.g. CCTV, pump, and any asset number, e.g. Camera 26.
2. The symptoms of the fault, but not the repair required. E.g. 'platform floors very soiled' not 'require a scrubbing machine'.
3. If it is a repeat fault you must inform the Asset Control Centre and quote any recent fault numbers, where known.
4. Your surname, auto number and title (CSS, CSM etc).
5. Fault Location, for example, passageway, room number, description and SID code. If it is on the track state whether it is on the NB, SB, EB, WB, IR or OR.
6. Type of fault:
    a. will cause service disruption: a fault with a critical asset which can lead to service disruption, for example, a lift or escalator fault. Report these as soon as you possibly can, or
    b. will not cause service disruption.
7. When the fault can be attended: anytime, outside peak hours, engineering hours only.
8. How the fault can be accessed: if the station may be unmanned, how access is to be gained. If the fault is on the track from which station it should be accessed.
9. Whether the fault will require special protection, equipment or possession, for example, LU track access; Network Rail track access; above an escalator; scaffolding or ladder will be needed.

10. An objective fault impact assessment so that the Asset Control Centre can prioritise it.
11. For lift entrapment you must report the number of people trapped if known. You must also inform the Asset Control Centre when the passengers have been released.

Note: Faults **not** taken by the Asset Control Centre:

- Auto Phones
- Office Equipment (incl. printers, shredders)
- IT equipment
- SCDs
- CRIDs
- First Aid Kits

You must remind staff to record details in the station log book of any faults reported, including:

- the Asset Control Centre reference number
- the expected time the fault will be fixed

If you are unsure if a fault could lead to a contravention of applicable legislation, you must seek advice from your SHE adviser.

Monitoring faults

You must remind staff to monitor the progress of reported faults by:

- contacting the Asset Control Centre for an update
- checking that the work has been completed
- checking the [Fault Bulletin Board](#)

Information

Escalating faults

You must escalate faults that have not been dealt with satisfactorily by contacting your Building Manager.

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HANDBOOK FOR ALL LU MANAGERS

Handbook for administrators

Important Note – LU Customer Operations: The contents of this Handbook page are currently under review. This does not mean that the content is invalid and TfL Risk and Assurance Team continue to audit practices against this.

You must contact NIST for any further clarification or queries.

▶ New entrants and transferring staff	▶ Booking staff training
▶ Licences (including safety critical licences) and competence...	▶ COO shift planning
▶ Unauthorised staff absence	▶ Trades union representatives release
▶ Payroll control	▶ Occupational health admin
▶ Staff leaving service	

Health promotion

The [Health and Wellbeing](#) SharePoint site provides information, advice and support relating to:

- [Musculoskeletal Health](#)
- [Mental Health](#)
- [Eating Healthily](#)
- [Getting Active](#)
- [Health Matters](#)
- [Health and Wellbeing Champions](#)
- [Supporting Colleagues Network](#)
- [Trauma Support](#)

Flu vaccination programme

The [flu vaccination](#) programme starts in October. Vaccination is offered to all TfL employees and is especially important for those of your staff who have chronic medical conditions – for example, diabetes, respiratory problems etc.

Employee mental health

The Occupational health counselling team has a proactive programme aimed at improving [mental health](#) and minimising stress at work and has produced guidance to help [managers support employee mental health](#). In addition Occupational health can provide on-site support to areas of TfL experiencing specific problems with sickness absence for mental health reasons or high levels of reported work related stress.

Supporting physical fitness in the workplace

Modern lifestyles and jobs mean that people are spending too much time sitting down and being inactive. However, simply making the time to incorporate activity

into our daily lives is all it takes to be healthier. One of the main benefits of an active lifestyle is the increase in self confidence and positive outlook that it creates. Feeling better means more energy to play hard and work hard. Managers can support physical fitness in the workplace in a number of ways:

- [Supporting Physical Fitness in the Workplace - Exercise Class Guidelines for Managers](#)
- [Physical Activity in the Workplace - For employees starting an Exercise Class in the Workplace](#)

Musculoskeletal strategy and plan

[Musculoskeletal advice](#) and exercises have been developed by Occupational Health Physiotherapy department to help assist managers in preventing injury, ensuring legal compliance, minimise suffering, reducing absence and improving performance.

Work and the menopause

The menopause occurs naturally in women between the ages of 45 and 55. During the period immediately before the menopause these changes lead to menstrual irregularities. Symptoms associated with the hormonal changes that occur during the menopause can last for four to eight years. During this time women employees may find difficulty in coping/concentrating at work and following a research programme the British Occupational Health Research Foundation has produced guidance for managers, to help them understand the issues and manage staff during this period. For further information please see [guidance relating to women going through the menopause](#) and the [Menopause Matters](#) (Health and Wellbeing) page.

Employee health and wellbeing

General information for staff on health and wellbeing can be found on the [Occupational Health and Wellbeing](#) SHEMS pages.

Contacting Occupational Health & Wellbeing Team

For contact information, see the [Health and Wellbeing](#) homepage (lower half of the page).

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Related documents

📄 Flu vaccination – Medical guidance notes and information – G1195

📄 Managers support employee mental health - G1302

📄 Supporting Physical Fitness in the Workplace - Exercise Class Guidelines for Managers...

📄 Physical Activity in the Workplace - For employees starting an Exercise Class in the...

📄 Menopause at work guidance – G1459

Related links

▶ SHEMS - Occupational Health and Wellbeing

▶ Health and Wellbeing SharePoint site

▶ Musculoskeletal Health

▶ Mental Health

▶ Eating Healthily

▶ Getting Active

▶ Health Matters

▶ Health & Wellbeing Champions

▶ Supporting Colleagues Network

▶ Trauma Support

▶ Menopause Matters (Health and Wellbeing)

Items escalated from local level

Escalating items

Information

If, following consultation, a decision is made where it can be demonstrated that safety risk levels are unchanged or reduced but the H&S representatives do not agree with, the issue shall be treated as having been closed.

Information

The reasons for the decision must be fully explained.

Information

The H&S representatives have a right to raise the issue to the next level.

If an item cannot be agreed at the local level meeting, the matter will be referred immediately by the secretary to the appropriate ERM or SHE Adviser as applicable to see if it can be resolved within 7 days.

Information

The person requesting the referral is responsible for making sure that the appropriate part of the local level form is completed. This will normally be a trades union representative. Where possible, the form must be completed on the day of the meeting.

If the item remains unresolved, or affects multiple locations or functions, it will need to be referred to a level 2 or tier 2 meeting using the relevant form (Trains IR referral form or all other areas referral form) and associated guidance.

You must:
- show that you have consulted or negotiated (or both) with IR representatives, or
- show that you have consulted with H&S representatives

Processing the form

When you are given a referral with part 1 completed, you must:

- complete part 2 of the form
- send the form electronically to the SHE adviser for a health and safety issue, or the ERM for an industrial relations issue
- request acknowledgement of receipt of the form
- retain a signed copy for your reference

You must then:

- follow advice given by your SHE adviser or ERM
- and attend tier 2 or level 2 meetings to discuss the referral, if requested

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Related documents

Trains IR referral form

All other areas referral form

Associated guidance

Learning representatives

The Learning Forum

Information

Normally chaired by a nominated general manager or equivalent, the Learning Forum is made up of:

- up to five management representatives
- an administrator
- a Trade Union side made up of nominated Union Learning Representatives (ULRs) including Coordinating Union Learning Representatives (CULRs) from each of the recognised trade unions

Information

If a C/URL is not available to attend the Forum, the office may be covered by co-option by agreement between the Management Chair and the trade union concerned.

Information

Details of the scope of the learning Forum can be found on the [ER intranet pages](#).

Learning representatives facilities

You must provide your learning representatives with access to:

- telephones and fax machines
- office equipment
- IT facilities including e-mail, intranet and internet
- secure storage space
- notice boards
- suitable meeting facilities to consult with employees
- Mobile phones (for CULRs only)

Information

This equipment does not need to be dedicated for representatives' use only.

Information

Consideration should be given to accommodating learning representatives with your H&S and IR representatives, where possible.

Understanding the conditions of release for learning representatives

Information

Trades unions must give formal written notification to LU that an individual has been appointed as a learning representative. Learning representatives can then be released from their duties, as agreed, to carry out their functions.

Information

Release for learning representatives is co-ordinated by the CULR including making the necessary arrangements for release. The CULR must seek a mutually convenient time for release to minimise the effect on the business or service.

Information

The CULR will inform the management secretary of the Learning Forum of the names of their representatives at least five working days before each meeting.

Information

The Learning Forum will meet a minimum of three times per year. Additional ad hoc meetings can be arranged with agreement by all parties.

Information

In all cases, requests for release will be subject to business and service needs.

Details of the number of days release learning representatives are entitled to are contained in the Learning Agreement.

The role and responsibility of the learning representative will vary by union and location. Generally you should release learning representatives from their duties for:

- analysing learning and training needs (not workplace training)

- providing information and advice about learning and training matters
- promoting the value of learning or training
- arranging learning or training
- consulting with LU about carrying out learning or training
- preparation to carry out any of the above activities

Releasing learning representatives to attend training courses

Information

You must release learning representatives to undergo relevant training in connection with their role.

Information

The trades unions are responsible for arranging the training of ULRs in the basic skills required for their roles as learning representatives. Representatives attend these courses on paid release.

Recognised courses will consist of the following:
- ULR Introductory course (Stage 1) – ideally within 6 months of appointment
- ULR Introductory course (Stage 2) (subject to review of syllabus) – ideally within 12 months of appointment

Information

Learning representatives will be given time off with pay to attend courses, or other activities associated with their role.

Information

If the learning representative attends training when they would not normally be at work, they will not have the days reinstated, unless it is for the courses specified above. Any release for additional training will be granted only if the training is agreed by the Learning Forum and subject to operational requirements.

Information

The CULR will give at least 14 days' notice, wherever possible, in writing or email when requesting release for a learning representative to attend a training course.

Reinstating rest days to attend meetings or courses

If a ULR is required to attend a course or meeting by LU on his or her rest day or during annual leave you must reinstate the rest day or the annual leave day.

You must agree with the representative if the rest day or the annual leave day will be taken that week or at another agreed time.

Releasing representatives on nights or at weekends

You can only release representatives on nights or at weekends in exceptional circumstances.

If it is absolutely essential for a learning representative rostered on night duty to attend a course or meeting, you must release them for two nights.

Expenses incurred as a learning representative

Information

The trades unions are responsible for any expenses incurred during the duties of a learning representative, unless agreed otherwise at the Learning Forum.

Employees requesting to see ULR

Employees who need to consult with a ULR should arrange to do so, wherever practical and possible, in their own time. If time-off from work is required, then the following applies.

- the time-off will be without pay
- the employee should give LU 14 days' notice
- the request should be made in writing directly to you with a copy to their CLUR
- time-off will be granted in accordance with the operational requirements of the business

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Related links

▶ Help and Advice

▶ Learning agreement

Licences (including safety critical licences) and competence management

Important Note – LU Customer Operations: The contents of this Handbook page are currently under review. This does not mean that the content is invalid and TfL Risk and Assurance Team continue to audit practices against this.

You must contact NIST for any further clarification or queries.

Licenses

Information

Operational Staff who are on a current CMS plan do not require a paper licence.

Staff competency can be checked at any time by use of the employee number which can be quoted from the identity card and entered into SAP to produce a report which will clearly show the location, job role of the individual and how the competence of that person is being managed.

Their CMS must be kept up to date by:

- Being assessed regularly
- Attending training and refresher courses
- Completing any local training or familiarisation

Asset/maintenance staff are issued with a licence showing the activities they are qualified to carry out as part of their role. Staff must keep their licences up to date by attending relevant:

- training courses
- refresher courses
- any local training or familiarisation

Using SAP for staff licences

Information

Licences are produced using SAP and can be issued up to seven days in advance, but cannot be backdated. All licences must be signed by the employing manager and the employee before they are issued.

Information

Licences must only display the activities the member of staff is qualified to carry out. Qualifications required for each staff member, based on their role and location, are listed in the staff profile match-up in SAP.

AP

SAP contains the profile match-up of safety critically licensed staff only.

Information

A licence lasts for three years, but some elements need to be renewed annually or every two years. The licence does not need to be printed each year as training elements can be confirmed by the trainer.

Information

Licences must be printed on special paper, which is available through SAP.

Warning

SAP will not allow you to print a licence unless qualifications that are regarded as an essential requirement are in date. If a qualification runs out, you must book the relevant training or refresher course as soon as possible for the member of staff.

Information

The employing manager can authorise a 4 week extension for the out of date qualification, but this can only be extended once before the training or refresher course takes place.

You must use SAP to:

- view a member of staff's qualifications
- create new qualification records for a member of staff
- record the details of the qualification assessor
- print the licence

Information

A member of staff's qualification cannot be saved if a qualification assessor has not been assigned.

Information

When a member of staff completes a training course, the trainer will enter the qualification in SAP.

If a member of staff attends local or recurring training, you must enter the qualification in SAP:

- using a customer service supervisor's/manager's staff number as the assessor for local qualifications on stations
- using an instructor operator's staff number as the assessor for local qualifications on trains
- using the staff number of the employing manager as the assessor for recurring training

Checking a member of staff's qualifications

Information

Reports in SAP show all safety critical activities, assessments and competencies which are:

- missing, or
- expired, or
- due to expire within 28 days

Viewing a member of staff's holistic report

Information

The LU holistic report has been designed for the use of external regulators and provides core information about a member of staff within one hour of an incident. Locally the holistic report can be very useful when managing performance. Duty or team managers can also run the holistic report for any member of staff.

Warning

You must ensure that the holistic reports you show to external regulators do not include employees' personal information, for example, sicknesses and home addresses.

You must use SAP to run a member of staff's holistic report when requested by your manager.

COO

The Competence Management System

The Competence Management System (CMS) is the system used to assess operational staff for competence. Assessments are carried out using a range of methods over a 24-month period.

A qualified assessor (usually a duty manager) will enrol a member of staff onto CMS using SAP and assign them a development plan. The development plan will show when a member of staff needs to attend their continuous development programme training.

You must run a SAP qualifications report regularly to make sure staff are booked on continuous development programme training to keep their licences in date.

You must also run a centurion manager's report regularly for your centurion manager. You can contact your CMS Co-ordinator for help if necessary.

The centurion manager will use the report to manage the duty managers responsible for carrying out assessments on staff.

AP

Safety Critical Licences

Issuing Safety Critical Licences

You must:

- check that all paperwork including medicals, safety training certificates and any other relevant assessments are correct and in date

- produce a SCL from SAP following Safety Critical Licence Maintenance SAP Guidelines
- forward the SCL to the employing manager to sign requesting old SCL if applicable
- place a copy of the signed SCL on employee's file

Monitoring Safety Critical Licences

You must check the "Employee Qualification" or "Expired Qualification" reports for:

- SCLs that have expired
- SCLs that are due to expire in the next 2 months

You must check the sickness summary on a weekly basis and withdraw SCL for employees who are long term sick.

It is the employee's responsibility to keep their SCL up to date.

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Related links

▶ **NIST - LU Operations SAP guidance –
Licensing and Qualifications**

LU managers - contents

Please use the **Select a topic to view** menu to navigate around this handbook.

- **Desktop:** Find the menu in the navigation area next to the name of this handbook
- **Mobile:** Tap the ☰ icon and > to expand

▶ Change control	▶ Finance
▶ Handbook for administrators	▶ Occupational Health
▶ Organising and managing your team	▶ Safety, security and environment
▶ Working with contractors	▶ Working with trade unions
▶ Working with stakeholders	▶ Competence Management System

HANDBOOKS FOR ALL LU MANAGERS

LU managers - finance

▶ Budget monitoring

▶ Administering expenses locally

▶ Connect radio

▶ Mobile phones

▶ Stolen equipment

▶ Payroll management

Maintenance activity changes

Information

Maintenance regimes are produced as part of LU's whole life approach to maintenance which involves establishing performance objectives, asset management and asset group strategies. They are ultimately determined by the company's Business Plan.

When a need for change to maintenance and inspection plans (including changes to the scope or periodicity of maintenance) is identified locally or instigated by a proposed change to the maintenance regime, you must:-

- consult with the Asset Sponsor and Head of Profession, assess the risk and produce CAPs and VAPs as necessary
- update your maintenance and inspections documents, work instruction, forms and checklists and ensure any outdated or obsolete documents are removed in accordance with the document control section of this handbook
- communicate the changes to your staff and facilitate any learning requirements as necessary
- ensure the maintenance regime is updated once the change has started

Warning

You must follow

- the S1642 temporary approved non-compliance (TANC) process (track, signals and power)
- case for continued safe operation and associated form F0107 (CCSO) process (fleet)
- concession process for Lifts and Escalators W0167 and apply for the concession using form F0530
- Electrical system change PR0850 uses standard concession process - see above.

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Related documents

📄 S1642 temporary approved non-compliance (TANC)

📄 Case for continued safe operation

📄 F0107 (CCSO) process (fleet)

📄 Concession process for Lifts and Escalators W0167

📄 Concession using form F0530

📄 Electrical system change PR0850

Managing cleaning contractors and waste disposal

Information

At operational locations, contract staff, including cleaners, are deployed 24 hours a day on planned work and for items reported to the LUCC Assets Team. These include:

- stations
- trains
- trackside locations
- depots
- operational offices and accommodation

Information

At head office buildings, cleaning is arranged by Transport for London (TfL) Facilities or by COO-Maintenance for some maintenance premises.

All Lines will use [W0991](#) Controlling safe access for contractors to work in a pit road and hand back and [F0776](#) Pit road access working form; to control safety access for contractors to work in a pit road. You must make sure that your staff escalate any reported items not dealt with according to the cleaning schedule.

Induction of cleaning staff

You must make sure that cleaning staff are given local induction and familiarisation training. You must ensure that cleaners have access to welfare facilities, liaising with the contract manager if necessary.

Cleaning standards

Information

Stations and trains cleanliness audits are carried out regularly by London Underground (LU) and managers can also request that a cleaning audit is carried out.

For any questions or feedback related to station cleaning, you can email CleaningFeedback@tfl.gov.uk.

Public areas

You must make sure that public areas are cleaned to the SIS minimum ambience scores for:
- cleanliness
- litter
- graffiti

Non-public areas and operational accommodation

You must make sure the following areas are clean, and free from litter, graffiti and unauthorised stickers:
- control rooms
- depots
- sidings
- offices and booking-on points
- mess rooms
- kitchens and canteens
- toilets and changing facilities
- other non public areas

Cleaning of temporary facilities

You must make arrangements with the appropriate LU contract manager for the cleaning of temporary facilities, where provided.

Cleaning of premises

Information

Cleaning of stations and other LU premises includes public areas, non-public areas and operational accommodation.

Information

Most planned cleaning of operational premises is carried out during Engineering Hours. During Traffic Hours, cleaning in these areas will normally be limited to:
- litter collection
- dealing with spillages or slip hazards
- cleaning non-public station areas
- cleaning undertaken within a depot

Information

Station supervisors and supervisors of other premises manage station cleaning on a day to day basis. All staff have a responsibility to avoid litter build up by:
- collecting items of litter, where possible
- monitoring litter bins and advising cleaning staff when they need to be emptied

If a dangerous spillage or breakage cannot be dealt with immediately by cleaners, you must deploy operational staff to make the area safe or cordon off the item until it can be dealt with.

You must make sure there are suitable cleaning materials available for dealing with spillages.

You must make sure faults or substandard cleaning issues at operational premises are reported to the LUCC Assets Team, and that any new graffiti is also reported to the British Transport Police (BTP).

When a cleaner is on a station, you must ask them to deal with litter, spillage, graffiti and other cleaning related faults. If these items are not cleaned up within 15 minutes, you must report the items to the LUCC Assets Team.

Cleaning in the trains environment

Information

Cleaning of the trains environment includes trains, operational accommodation and trackside structures.

Information

Interior and exterior train cleaning takes place during Engineering Hours at rolling stock depots and sidings. Such cleaning includes:

- washing the train exterior
- interior floors and surfaces
- removal of litter
- removal of unauthorised stickers
- clearing rubbish
- removing graffiti

Information

Trackside structures will be cleaned of graffiti and stickers removed during Engineering Hours.

Information

During Traffic Hours, cleaning will normally be confined to:

- litter collection
- dealing with spillages or slip hazards

You must make sure the cleanliness of trains is monitored as part of the checks your duty managers carry out.

You must make sure faults or substandard cleaning issues are reported to the LUCC Assets Team, that any new graffiti is also reported to the BTP and that any new graffiti is also reported to the BTP and the LU Incident Report Line 0844 292 0292 (LU auto 1558).

Liaising with cleaning contractors

Information

The arrangements for liaising with cleaning contractors vary from location to location and also by function.

You must monitor the cleaning performance at operational locations and provide feedback to the cleaning contractors. You must do this using the method specified by your line manager.

Waste storage and collection

Information

Contractors regularly collect waste from operational locations. Additional collections can be arranged through your normal cleaning contractor liaison.

Information

Collections at head office locations are dealt with by TfL Facilities.

Refer to Safety, security & environment handbook for details of waste storage, recycling and dealing with different types of waste.

Contact

▶ LUCC Assets Team

Related documents

📄 W0991 Controlling safe access for contractors

📄 F0776 Pit road access working form

Managing local level meetings

Attendance at meetings

Information

All attendees are responsible for:
- understanding the other parties' points of view
- focusing only on the remit of the meeting, such as health and safety or industrial relations

Information

The chair is responsible for:
- maintaining a regular programme of meetings
- striving to have equal knowledge of all issues
- inviting any guests required to attend
- making sure all actions are completed within the agreed timescales
- encouraging all participants to attend

Information

Attendance at local level meetings is usually limited to the local representatives, local manager and secretaries. The absence of one representative should not prevent the meeting from continuing.

Information

Local HSE and ER managers provide advice and guidance to the local manager on policy and procedure, and therefore do not generally attend the meetings. They can be invited to attend for specific briefings if requested by the manager or representatives.

You must make sure representatives are granted appropriate release to attend local level meetings.

If you do not have a local representative at your location, you can continue to schedule meetings.

For details on releasing H&S and IR representatives to carry out their duties, refer to [conditions of release for representatives](#) section of this handbook.

For details on releasing learning representatives to carry out their duties, refer to the [learning representatives](#) section of this handbook.

Frequency of meetings

You must arrange four meetings per year (3-monthly) with your local representatives.

You must agree the dates for the following year by the last meeting of each year and record the future dates.
- [Level 1 agreed release form - stations](#)
- [Level 1 agreed release form - train](#)
- [Tier 1 Schedule and agreed release form- stations](#)

You must inform [ER](#) of the dates of your tier 1 and level 1 meetings.

Information

Where an unscheduled meeting is requested regarding a matter that is accepted as urgent and that cannot wait until the next scheduled meeting, this should normally take place within 14 days of the request.

ER and SHE can offer guidance on what constitutes 'urgent'.

Preparing the agenda

Information

Both management and trades union agenda submissions must be made to the local level secretary at least 14 days.

Both parties will receive a copy of accepted agenda submission forms with the agenda, at least 7 days before the meeting.

Information

'Any other business' should not be an agenda item as it does not allow for adequate preparation.

You must make sure your appointed secretary:
- prepares a standard agenda as specified below
- issues the agenda at least 7 days before the meeting
- requests copies of any briefing material relevant to the subjects to be discussed

Preparing a standard agenda

You must make sure all local level meeting agendas include:
- title (relevant committee), date, time and venue of meeting
- apologies for absence/introduction of new members/guests
- agreement of the minutes of the previous meeting
- agreement of additional items (notified in advance)
- matters arising from the previous minutes and outstanding actions
- business of the day – as per the meeting terms of reference

You should check that all items provided for the agenda are eligible to be discussed at that type of meeting.

Additional items for agendas

In addition to the above, it is best practice to include some or all of the following items on the agenda.

H&S tier 1 agendas	IR level 1 agendas
Minutes of previous meeting	Minutes of previous meeting
Review of outstanding actions	Review of outstanding actions
Significant health and safety matters/changes	Update on attendance (general – not individual cases)
Health and Safety Management Systems implementation	Disciplinary issues (general – not individual cases)
Risk assessments and the associated action plans	Overtime
Health and safety performance/incidents	Performance and development
The findings of any local sub-groups established	Team talk

The results of audits/inspections and the actions arising	Secondments and movements
H&S Representatives reports	Group or depot facilities
Any other business	Group or depot morale
Date and time of ne t meeting	Schedules, rosters and coverage
DfT Compliance Findings	Equality, diversity and inclusion
	New policies and procedures
	Monitoring of syndicates, where applicable
	Local training plans
	Local effects of changes within the Company
	Any other business
	Date and time of ne t meeting

Note – these items should be considered in the context of their applicability to the specific area covered by the Tier 1/local committee.

Arranging local level meetings

Information

H&S and IR representatives must have 12 hours' rest before a meeting begins, as long as they do not make their own arrangements to changeover their duties.

Routine arrangements will usually be honoured.

Holding preliminary meetings

Information

Trades union representatives receive a one-day release for a preliminary meeting to be held before tier 1 and level 1 meetings.

Information

For other local level meetings, it should not be necessary to have preliminary meetings. However, if a preliminary meeting is required, some time should be made available on the day of the meeting.

Monitoring items passed to other managers

Information

If an issue is raised which can best be addressed by another manager's area, full details of the issue must be passed to this manager. Once the item has appeared on the agenda for this manager's meeting, it is no longer the responsibility of the originator.

You must check that the issue is on the manager's meeting agenda. If the issue is not on the agenda, you should advise your local representative that their equivalent in the other area will need to raise it with the other manager.

Chairing the meetings

Information

The following people should be invited to local level meetings:
- managers
- appropriate representatives
- manager's appointed secretary
- invited guests

Information

It can be useful to invite a duty manager or team leader as they might be the local champion for specific issues. It could also be helpful for their development.

Warning

You must only make agreements within your authority. If the agreement is likely to affect staff outside your authority, you must ask for guidance from:
- the ERM
- your direct manager
- your HSE manager

For details of referring items to level 2 or tier 2, refer to the [Items escalated from local level](#) section of this handbook.

As chair, you are responsible for deciding if and when breaks need to be taken, and for how long.

You can call an adjournment to the meeting:
- to seek advice on an item
- to provide 'thinking time' if you feel the discussion is becoming distracted from the issue
- to allow 'calming down' time if discussions are becoming heated, or there is any inappropriate behaviour or language

Information

TU Reps can also call for an adjournment.

Managing actions from meetings

Information

It is important the meeting attendees:
- only accept actions which are within their authority
- commit to realistic timescales
- give notice if it becomes clear an action will not be completed on time

Information

The secretary will prepare an action sheet and circulate it to those with actions every four weeks for updating.

Information

The action sheet must include:
- details of the action
- who is responsible
- when the action is required by
- the status of each action

You must make sure the secretary issues an overview of the status of all actions to the management chair and the staff side chair every four weeks.

Minutes

Information

The manager's appointed secretary will usually prepare the minutes for [level 1](#) or [tier 1](#) meetings.

You must make sure they are prepared with the following standard items included:

- the date, time and location of the meeting
- a list of attendees and apologies
- a brief record of discussion from the agenda (including the staff side and management positions)
- a record of agreements
- a record of actions and their dates of closure as well as who is responsible
- a record of referred items
- the date and time of the next meeting

Information

It is good practice for the chair and staff side secretary to agree the draft minutes within 14 days. Staff side are then given seven days to comment. A further seven days are allocated for having the minutes signed off by the staff side secretary and the manager.

Warning

As chair, you must make sure the minutes are issued within 28 days of the meeting taking place and distributed to:

- all attendees
- the local HSE adviser for H&S
- the ERM for IR
- the staff side secretary

Approving minutes

As chair you must release the staff side secretary, for an appropriate amount of time, to review and agree the minutes.

You must make sure the secretary:

- issues the agreed minutes as soon as practicable after each meeting
- attaches an action list

- has a copy of the minutes displayed on the relevant trades union notice board

Holding joint meetings

Information

Where an issue of joint interest across several local areas arises, then an ad hoc joint meeting can be proposed by either management or the staff side and will be arranged if necessary. This should normally take place within 14 days of the request and will be chaired by one of the managers concerned. Where the issue concerns more than one line, it will be considered by tier 2 or level 2 as appropriate.

Information

Joint local level meetings:
- are arranged to discuss specific issues
- have a specific agenda
- have an agreed list of attendees (including an agreed number of representatives to attend the meeting)

If you are chairing a joint meeting, you must:
- make sure only necessary ad hoc joint meetings are held
- arrange the meeting
- make sure minutes and an actions list are produced and distributed with 14 days of the meeting
- monitor and update the actions list 4-weekly, until completion of all the actions

Related links

▶ Conditions of release for representatives

▶ Learning representatives

▶ Help and Advice

▶ Items escalated from local level

Related documents

📄 Level 1 agreed release form - stations/train

📄 Tier 1 Schedule and agreed release form- stations

📄 Level 1 meeting minutes

📄 Tier 1 meeting minutes

Managing security from Terrorism

Information

London Underground are consolidating all the operational security advice, guidance and instructions into one central location. This location is the Security from terrorism intranet pages on Platform, which have become the one stop shop for all your security needs. By using this site you can ensure that you are accessing the most up to date security information available to you.

The front page of the site informs you of the national threat level and the corresponding security response level which London Underground are working to. Then there are four connecting pages which provide detailed information on our:

- Prevention activities - including access control measures and our station security checks
- Response activities - including guidance documents on the various threat types, providing staff with the tools to assess the situation and respond appropriately
- Recovery activities - by recovering from a security incident safely, quickly and effectively we reduce the overall impact on our customers and we build confidence that we have the expertise to manage major incidents and can smoothly return to normal operations and finally
- CCTV requirements

London Underground's Security from terrorism pages can be accessed and shared using this link: https://transportforlondon.sharepoint.com/sites/Security.

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Related links

▶ Security from terrorism

▶ Prevention activities

▶ Response activities

▶ Recovery activities

▶ CCTV requirements

HANDBOOKS FOR ALL LU MANAGERS

Managing team performance

Performance boards

Information

Performance boards display the Key Performance Indicators (KPIs) and results from the current scorecard. The Service Performance Information team communicates scorecard measures, targets and results breakdowns.

To assist with performance and improve results, performance boards are used to highlight:
- any gaps in performance
- root cause analysis and trends
- action plans to close performance gaps
- issues and concerns
- positive and negative trends

For further information on scorecards, refer to the Service Performance section of the handbook.

Tracker and visualisation boards

You must attend regular performance meetings with the manager to review, discuss and prioritise performance gaps on the tracker (Customer Operations) or visualisation (Asset Performance) board.

You must review each board in turn and update them regularly, with new actions determined to address performance gaps. Action plans must include:
- aims and objectives
- clearly defined actions with owners
- timescales and key milestones
- the current status of each action
- when performance will improve
- when the target will be reached

- the name of the plan owner
- the date the plan was last updated
- key performance indicators (KPIs)

Asset Performance

- details of the asset condition
- details of how the asset will be maintained, improved or repaired
- specific activities relating to Ellipse

You must display the following information on visualisation boards:
- daily performance - a summary of key business metric status versus target
- performance monitor   trends and analysis of key business metrics versus target
- planning to improve the business performance
- shift handover   key information for handover to the following shift
- follow-up actions

Asset Performance

- Failure resolution - analysis of failure modes
- Practical problem solving (PPS) - specific problem-solving activity based on the highest impact failure modes

Management information

To assist you in monitoring staff performance, you must review the following reports and take any necessary action.

Report type	When produced	Report contents
Overtime Reports	Daily	This report shows staff overtime. (It is important to remember that full-time staff must not work more than 30% in excess of their contractual hours in any four-week period).

Competence management	Weekly	Customer Operations Centurion report shows staff enrolled onto CMS. Assessor report shows how many members of staff each assessor is dealing with.
Absence	Weekly	The absence calendar shows staff on leave, training or sick. Attendance management actions show all actions carried out and by whom.
Audit	Weekly	Absence audit, employee remuneration and overtime & attendance audit reports show information used to comply with payroll control procedures.
Shift planning	Weekly	Customer Operations Shows uncovered duties.
Incident reports	Weekly (CO) Daily (AP)	Electronic Incident Report Form (EIRF) summary and EIRF detail reports for SPAD incidents and staff errors.
Performance	Four weekly	Team talk attendance shows team talks completed and by whom. Performance & Development (P&Ds) performed shows the number of P&Ds completed and by whom. Recording log monitoring report shows ad hoc local briefings carried out.
Finance reports	Four- weekly	Item by item checks

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Related links

▶ Service Performance

Managing tenants and other non-fare revenue

Tenants

Maintaining a register

Information

LUAtenants@tfl.gov.uk can provide you with a list of tenants who are licensed to trade at a station.

You must maintain a register of contact details for all tenants at your station or location. This register must include the following:

- trading name of the tenant
- exact location being used
- name of the tenant
- contact telephone number

LU's requirements for tenants

You must make sure that your tenants:

- do not affect the health, safety or environmental performance of your station or location
- have evacuation and familiarisation training every six months
- are aware of LU's requirement to report incidents, and make sure this is done
- hold an LU access card to access non public areas of the station not covered by their own tenancy

Information

Any tenant requiring access to a station non public area, who is not in possession of an LU access card should be referred to the Access team auto 59502, email luatenants@tfl.gov.uk

You must carry out Planned General Inspections (PGIs) of your tenants' facilities at a frequency determined by your risk-based PGI programme.

For further information, refer to the [Carrying out SHE assurance Activities](#).

You must also make sure you have a means of emergency access to tenants' facilities.

Station Tenants

Where tenancies are included on Station Fire Compliance or Precautions Plans – Area Managers should ensure that they and their Duty Managers are familiar with the [Guidance Document for the Management of station tenancies](#).

- In these cases, tenants are required to have a documented [Fire Risk Assessment](#) available
- Tenants are provided with separate guidance for the completion of Fire Risk Assessments from TfL Group Property
- If Area Managers are unable to resolve station tenancy issues locally then these should be escalated via TfL Group Property (see guidance document above for full details)

Issues with tenants

If you have problems with litter or any other issue with a tenant, you must first try to resolve this by speaking directly to the tenant. If this is unsuccessful and the problem continues, you must escalate to Property Management.

You must not:

- allow unlicensed tenants to trade at your location
- set up any local arrangement for tenants to trade at your station or premises

You are responsible for the removal of unlicensed tenants from your station. You can ask the British Transport Police and/or Property Management to assist you.

If you wish to discuss a tenancy, such as returning an area used by a tenant to station use, you must submit a business case giving adequate justification to

the Revenue Development Manager (Non-fares revenue) in the Strategy and Service Development directorate.

Presentation of your station

Information

The [presentation of your station](#) is an important part of creating the image of a 'world class tube'.

Wherever possible, you must make sure tenants maintain a satisfactory presence at your station or location by checking that:

- tenants stay within their retail unit or marked pitch and do not obstruct other parts of the premises
- no unauthorised logos, signs or notices are displayed on tenants' premises
- units, including windows, are kept clean, tidy and well maintained
- no excessive noise or odour comes from tenants' premises

If you have any problems with tenants not meeting these guidelines, you must escalate and contact Property Management as appropriate.

Items which cannot be sold

You must not allow tenants to sell:

- any substance which could affect the health, safety or environmental performance of the station or location
- tobacco products, except where legally exempt

You must ask Property Management for advice if:

- you are unsure about what can be sold on your premises, or
- any tenant significantly alters what they are selling or the way this is being done

Commercial revenue

Information

Commercial Property are responsible for:

- Customer car parks at stations
- ATM machines

The media team are responsible for:

- advertising
- free newspaper distributions
- promotional activities

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Contact

▶ **LUA tenants**

Related documents

📄 **Guidance Document for the Management of station tenancies**

📄 **Fire Risk Assessment**

📄 Station Presentation Handbook

Related links

▶ Carrying Out SHE Assurance Activities

Managing the service during industrial action

Preparing for industrial action

You must:

- be aware of the latest staff industrial action pack and local strike plan
- try to find out informally the approximate number of staff you will have available on the strike day
- tell [Employee Relations](#) the likely number of staff participating in industrial action
- attend local contingency planning meetings with your performance or business manager and Employee
- Relations at which specific information regarding the strike will be detailed and plans put in place
- make sure any relevant communications and bulletins are distributed within your area
- set up a strike planning base:
  - to co-ordinate phone calls
  - for staff to book on
  - for all available and gathered information to be on hand

COO-Operations

Information to customers

You must make sure:

- up to date posters are displayed
- up to date public address announcements are made
- staff are positioned to give customers the latest information on the train service and alternative routes

Staff taking part in industrial action - Information

Shifts lost through official industrial action will not count under the attendance at work policy. Shifts lost through any form of industrial action are not paid.

You must make sure:

- staff who go on strike (and are not sick or on leave) are recorded in SAP as 'industrial action official'
- staff who do not want to work or do not want to cross picket lines are recorded in SAP as 'industrial action unofficial'

Staff not taking part in industrial action

When managing staff who do not want to take part in industrial action, you must:

- encourage staff to make every effort to attend their place of work during the period of disruption
- only grant annual leave, swapping days, home working or staggering of hours if there are legitimate, logistical problems with staff getting into work
- not grant any of the above where you believe it is for the purpose of supporting strike action
- provide alternative productive work for any staff that attend work or use your location as a booking-on point but are unable to perform their normal duties (any staff that refuse to conduct these duties will not be paid for the period of their refusal)
- use your discretion to deal with lateness during industrial action, considering the journey the member of staff would need to have taken to get to work

Managing picket lines - Information

It is recommended that there should be no more than six people at any time on one picket line so that pickets can peacefully explain their views to staff entering and leaving the picketed premises.

Only members of a trades union which is in dispute with the employer can be on a picket line. Trades union officials or representatives can also stand as part of a picket line, as long as they have been elected to specifically represent the group of staff on the picket line.

Problems or unrest on a picket line

If you experience any problems or unrest on a picket line, you must calmly try to resolve the situation.

If this is not possible, you must:
- tell the British Transport Police, your performance or business manager and the rostered duty officer
- make a note of the names and details of those causing the unrest
- tell Employee Relations

Alternative booking-on points

If pickets are obstructing a booking-on point, you must arrange for an alternative booking on point.

At the alternative booking-on point, you must make sure:
- late notices, Traffic Circulars and a signing in sheet are provided
- any spare equipment is also provided
- staff are being booked-on by an appropriately licensed person and that fitness for duty is being checked

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Related links

▶ Help and Advice

Medication and fitness for work guidance

This content has been moved to the new Safety, Health and Environment Management System (SHE MS) pages on TMS   See below link:

▶   **Medication and advice**

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Mobile phones

Information

Company mobile phones should only be issued when a proven business need exists and with GM/Band 5 level approval. If this need changes, the device should be recovered and reallocated or ceased.

LU provides phones for work purposes.

LU reserves the right to claim back money to cover the cost of personal usage.

Only one device per person is permitted.

Additional instructions and guidance can be found on **Requesting and managing hardware**.

High call charges

Information

Your manager will alert you to any excessive call charges within your cost centre. You can request an itemised bill from Telephone Services for you to review. Please raise a service request via the NGSD portal.

You must investigate any high call charges within your cost centre by interviewing the employee and considering the circumstances.

It is your responsibility to recover any excessive call charge costs from your employees. This payment would need to be in the form of a cheque made payable to London Underground Limited and forwarded to your business or project accountant.

International roaming

Information

Requests for international roaming can only be made by the employee's employing manager with director level approval.

Warning

If international roaming is not authorised, the device should not be taken out of the country.

If you decide that an employee's personal circumstance or particular job requirement needs international roaming to be enabled, you must raise a service request to Telephone Services by contacting T&D Service Desk.   Please log a request via the NGSD portal or by calling the T&D Service desk on 1555 with the following information:

- the employee's name
- the mobile number
- the dates when the roaming is required
- confirmation that the international roaming is required for work purposes
- confirmation of director level approval

Telephone services will advise the most appropriate tariff.

Employees changing cost centre or leaving the company

If the user of a company mobile phone changes cost centre, you must make sure they tell Telephone Services.

Information

To make sure the call charges are accounted for by the correct cost centre, you must inform Telephone Services of any staff changes.

If an employee leaves the company, or no longer needs their company mobile phone, you must withdraw the phone from them and return it to Telephone Services.

Telephone services can be contacted on auto 144.

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Related links

▶ **Requesting and managing hardware**

HANDBOOKS FOR ALL LU MANAGERS

Monitoring operational communication

Information

The requirements for monitoring operational communications are detailed in the London Underground Standard 'S1713 'Operational communications'.

LU's operational communication framework

Learn more about LU's operational communications in Rulebook 1. and the operational communications e-zone course

Operational Communications Communication Review Groups 🔗

Each relevant Head of Department is responsible for convening a local Communications Review Group (CRG) each period, chaired by an employing manager from their function. The CRG shall be created as set out in Standard S1713.

The findings from the Communications Review Groups shall be recorded on the LU Operational Communications Monitoring Tool.

Information on LU's approach to good quality operational communications is available on Platform.

Connect radio

To obtain a Connect radio recording, for post-incident or monitoring, you must complete F1557 'Connect Radio Communications Request Form'.

Refer to the Finance book for information about managing connect radios.

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Related documents

📄 **S1713 'Operational communications'**

📄 **F1557 'Connect Radio Communications Request Form'**

Related links

▶ **E-zone course**

▶ **Rulebook**

▶ **LU Operational Communications Monitoring Tool**

▶ **Operational Comms – Best practice and FAQs**

▶ **Connect radio**

Naming of operational buildings

Information

Requests for the naming or renaming of London Underground's existing and newly opened operational staff buildings only applies to non-public staff areas of LU property. It does not include head office buildings that are managed by Transport for London Group Properties and Facilities.

Criteria for considering requests

General

Normally requests will only be considered if one or more of the following criteria are met:

- The name has a special association with the building in question
- There is evidence of strong support from staff at the location for the request

All requests must be considered in light of the following:

- The names of surrounding buildings
- Alternative meanings or significance of the name that may cause offence or be inappropriate for association with London Underground
- Whether permission would be needed to use the name and if this would be forthcoming

London Underground will not consider requests for naming buildings after a person:

- whose actions or behaviour, either during their London Underground employment or outside of it, would make such a memorial inappropriate
- who is still currently employed by London Underground

Naming of buildings in memory of staff

London Underground will consider requests for the naming of operational staff buildings to honour previous members of staff alive or deceased.

Normally requests will only be considered if the staff member in question has met one or more of the following criteria:

- Made an outstanding contribution to London Underground during their period of employment
- Completed a long period of service
- Has a special association with the building in question
- Are nominated by their colleagues and peers for recognition

Approval of requests

A request to change the name of an operational staff building must be made in the first instance, to the General Manager for the line which manages the building. If the building does not fit within a particular line, then the request should be directed to the Chief Operating Officer.

The General Manager must consider the request on its merits and in light of the criteria above and decide whether to recommend the request to the appropriate Director, their decision shall be final.

If the request is recommended by the appropriate General Manager, the relevant Director will present the request at a meeting of the Rail and Underground Board for approval. The decision of the board is final.

If it is not possible to accommodate the request, consideration should be given as to whether there are other suitable alternatives. Alternatives might include one of the following:

- Erection of a memorial plaque on site without changing the name of the building
- Naming individual rooms within the building or outside spaces

Before a final decision is made by the Rail and Underground Board:

- staff at the location in question must be given the opportunity to support or comment on the request.
- Permission must also be sought from the person after whom it is proposed to name the building after if this is applicable, or if they are deceased from their next of kin

Erection of Plaques

The design, size, wording and positioning of any memorial plaque to commemorate the building name must comply with relevant London Underground standards and any relevant statutory regulations.

There shall be no provision made by London Underground for any cost associated with the production or erection of plaques.

Final approval for the design, size, wording and positioning of any plaque rests with the General Manager who recommended the request.

Maintenance

London Underground will take responsibility for the maintenance and cleaning of any plaques on areas which it owns or operates.

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New entrants and transferring staff

Important Note – LU Customer Operations: The contents of this Handbook page are currently under review. This does not mean that the content is invalid and TfL Risk and Assurance Team continue to audit practices against this.

You must contact NIST for any further clarification or queries.

Warning

You must allocate new or transferring staff a roster in SAP.

Preparing files for new entrants

Information

When a new entrant is allocated to your area, their paperwork will be sent to the employing manager.

You must set up a staff file for them including:

- details of their emergency contact or next of kin, which must also be entered in SAP
- a copy of their P38, P45 or P46 (the original will have been sent to HR Services for payroll information)

You must also include:

- their training records
- their signed contract
- their employment offer letter

You must make sure the new entrant's references and police checks have been received before they finish their training. If you have not received them, you must contact LU Resourcing (COO) or HR Services Recruitment team.

Issuing documents on the new entrant's first day

You must make sure the new entrant has received copies of the following at their corporate induction:

- the drugs & alcohol policy
- the attendance at work procedure
- the staff handbook
- the employment statement handbook
- the pension fund booklet
- the transport benevolent fund leaflet
- the workplace harassment procedure

If they have not received all of these items, you must contact HR Services and arrange for the documents to be sent to the member of staff.

You must:

- check that the new entrant has signed a receipt for each document at the corporate induction
- place the receipts in the appropriate section of their staff file

Probationary periods

Information

All new staff will be set a probationary period of employment. This is usually for a minimum of six months with an interim review after three months.

Information

The employing manager will carry out a formal performance and development interview with all new members of staff at the start of their probationary period.

You must keep all paperwork relating to the probationary period in the performance and development section of the relevant staff file.

Satisfactory completion of the probationary period

You must send the member of staff a [standard letter](#) of confirmation when they have satisfactorily completed their probationary period.

You must make sure the employing manager signs the letter and a copy is kept in the relevant staff file.

Extending probationary periods

Information

Probationary periods can be extended to nine months. This normally happens if the member of staff has not met the criteria for the role, with respect to performance, attendance or other work related issues.

Information

The employing manager will inform the member of staff in writing, explaining the areas for improvement.

You must send the staff member a standard letter (contact your HR team), explaining that the probationary period is being extended as detailed by the employing manager.

You must make sure the employing manager signs the letter and a copy is kept in the relevant staff file.

Failure of a probationary period

Information

If a member of staff fails their probationary period, after being given the opportunity for improvement, the employing manager will either terminate their employment or, in some circumstances, find a suitable alternative position.

Information

The member of staff is allowed to have a trades union representative at any interview to discuss these circumstances. Your HR team will provide advice and guidance to the centurion manager.

Information

If a suitable alternative position is found, the member of staff must begin a new probationary period.

On behalf of your manager, you must either (whichever is applicable):

- send a standard letter (contact your HR team) to the member of staff explaining that their employment is being terminated and that they are entitled to representation at any resulting interviews, or
- send a letter to the member of staff explaining that a suitable alternative position has been found and they will begin a new probationary period

You must make sure the letter is signed by the employing manager and that copies are kept on file.

If employment is being terminated, you must contact HR Services to:

- log a service termination case
- notify them of any payments to be made to the member of staff

Staff transferring by nomination

COO and APD

Staff can apply to transfer to another work location by completing a [nomination form](). Nominations can be at a staff member's current grade, or at a promotional grade if the member of staff is eligible to nominate. A staff member's eligibility to nominate must be checked before they are issued with a nomination form in accordance with the relevant agreements - [COO or APD]().

If applicable the member of staff should be assigned to an operational roster using the business recommended business operating system.

Information

Staff can nominate:

- several locations for stations and
- one location for trains

Information

For stations and APD nominations, when a vacancy becomes available, the member of staff with the earliest application date will receive a Notification of Movement form with details of their transfer.

Information

For trains nominations, the member of staff will be told if a vacancy is likely to occur within the next three months. They can withdraw their nomination at this point.

Information

Train operators can also nominate for a geographical move if required, by completing a Geographical Nomination form. These moves are submitted to the movements committee where they are agreed or declined.

When a member of staff transfers out of your area

Stations and Revenue

You must:

- complete the Notification of Movement form which you will receive from LU Resourcing and ask the member of staff to sign it
- send the form to LU Resourcing, for processing
- arrange for their staff file to be transferred to their new location

Trains

LU Resourcing will contact the member of staff direct , by giving them 28 days to decide if they wish to accept or decline the nomination.

COO

LU Resourcing will then notify the local administration staff of the transfer via an e-mail containing a spreadsheet.

Information

Details on transferring staff files are shown in the Management of locally held employee information.

When a member of staff transfers into your area

You must request their staff file and arrange local induction for them.

You must remind the member of staff that unless they confirm they wish to retain their other nominations, they will be cancelled after 28 days for COO or as specified in AP's different [framework agreements](#).

COO
Staff preferencing

Staff who are not eligible for promotion via nomination can use the Vacancy Preference form for their grade. They can revise their preference at any time.

If a member of staff wants to use the preferencing process, you must:

- give them a copy of the [Vacancy Preference form](#)
- forward the completed form to LU Resourcing on behalf of the member of staff
- keep a copy of the completed form in the relevant staff file
- tell the member of staff to check the Traffic Circular to see when they are eligible to nominate

Local induction for new and transferring staff

Information

The employing manager, or a designated manager, will carry out a local induction to their area for all new and transferring staff as soon as possible after they arrive.

You must make sure that staff are briefed on the following during their local induction:

- how duties are distributed and when
- annual leave rotation (COO and AP) and booking of unplanned leave
- staff travel facilities
- uniform issue
- local issues
- reporting non-attendance

You must also make sure that staff are advised:

- to contact HR Services if they require a financial, visa or employment reference
- that personal references can be dealt with locally

Contacts

HR Services Customer Delivery:
08000 155 071 Auto 1729

HR Services Recruitment Admin:
08000 155 072 Auto 1728
Fax 020 3054 5303 Auto: 85303

HR Services postal address:
PO BOX 45282, 1st Floor, 14 Pier Walk, London, SE10 1AS

Related links

▶ **NIST – LU Operations SAP guidance – Home**

▶ **Management of locally held employee information**

▶ **Operational recruitment**

▶ **List of Collective Agreements**

▶ **Requesting operational establishment changes**

Related documents

📄 **Standard letter**

Occupational health admin

◀ **Back to Health Surveillance**

Important Note – LU Customer Operations: The contents of this Handbook page are currently under review. This does not mean that the content is invalid and TfL Risk and Assurance Team continue to audit practices against this.

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Night time workers, health surveillance

Information

Who is considered to be a night worker?

A night worker is any employee who regularly works three hours between 11pm and 6am.

Shift work with a night turn is considered as regular night work.

Distribution of Night Worker Health Questionnaires

You must ensure that you offer or distribute health questionnaires to your staff when they first start working nights and then at a maximum of three yearly intervals thereafter. For further information see the Occupational Health handbook.

Warning

You must keep the record of who a health questionnaire has been offered or distributed to for audit and legal purposes.

Periodic Medicals

Information

Operational and maintenance staff have periodic medicals with Occupational Health every 5 years if:

- they carry out safety critical work, or
- they hold track certification

Information

They must attend an age-related medical assessment at the ages of 30, 40, 45, 50, 55 and 60. They also have an additional medical when they reach 63 years of age, and then annually after 65 years of age.

Administering Occupational Health periodic medicals - COO and support directorate staff (excluding AP&F)

For ages 20, 25 and 35

Local administrators, under the direction of the relevant Centurion Manager, must run the 'birthday list' report in SAP and ascertain which employees are coming up for an 'anniversary' birthday. The following must be done within one year of each anniversary birthday of age 20, 25 and 35:

- give a copy of the [confidential medical questionnaire (PAA1)](#) to the employee with instructions to fill in and email to Occupational Health
- Remind employees that if they have any concerns about their fitness to undertake their duties then they must inform their employing manager

Information

Occupational Health will confirm that they have received and reviewed the form. The Local Administrator will not receive a copy of the self-assessment questionnaire, which has been completed by the member of staff and returned to Occupational Health.

Information

Occupational Health will:

- assess the completed form
- decide if a medical appointment is needed
- contact the centurion/employing manager or local administrator directly to:
  - ask them to arrange an appointment, which will need to be booked directly with Occupational Health and not via SAP and advise whether the employee needs to be stood down/restricted from safety critical duties or
  - send an outcome report to advise that the employee is either fit to continue present duties, unfit or fit with medical restrictions.

The local administrator must add the 5/3/2/1 year periodic medical qualification to the employee in SAP.

Where Occupational Health advises that the employee has to go for a follow up medical examination, the local administrator should contact Occupational Health directly to arrange an appointment for the employee concerned and notify the employee of the appointment details.

For ages 30, 40, 45 50, 55 60 63 65 and then yearly

The local administrator must:

- Arrange the employee's release
- Use the PSV1 SAP transaction to book a suitable timeslot for the periodic medical
- Check that the shift plan in SAP has been updated
- Email the joining instructions to the employee concerned
- Email a copy of the health confidential medical questionnaire PAA1 to the employee and advise that they should fill it in and take it with them to their Occupational Health appointment
- take any corrective glasses, LU approved hearing aid and details of their GP and any medication they are taking
- emphasise that they must present themselves to Occupational Health reception at least 15 minutes before the appointment time
- advise the employee that lateness and absence will be treated in accordance with the lateness and absence procedures.

Information

Bookings and cancellations can be made up to seven days in advance of the appointment using the SAP PSV1 portal.

Any booking and cancellation with less than seven days notice or follow up appointments following a query on the confidential medical questionnaire must be requested via an email to [Occupational Health](#).

Information

Occupational Health will send an outcome report to advise that the employee is either fit to continue present duties, unfit or fit with medical restrictions.

The local administrator must add the 5/3/2/1 year periodic medical qualification to the employee in SAP

Where Occupational Health advises that the employee has to go for a follow up medical examination, the local administrator should contact Occupational Health directly to arrange an appointment for the employee concerned and notify the employee of the appointment details.

Refer to the NIST SharePoint page for [Occupational Health Work Instructions](#).

Information

Periodic medical appointments in SAP are for booking periodic medicals only.

All referrals for 'fit for present duties' and follow up appointments MUST be booked via Occupational Health.

COO operational staff

Where operational employees work on the track they are subject to a Track Medical Qualification (MED01) which is recorded on SAP. You must ensure that staff files include:

- a completed form [F0206 TSW027](#) received from Occupational Health for new entrants demonstrating they have received a medical
- a completed [F0207 TSW024](#) a self assessment questionnaire and the medical and competence declaration [F0360 TSW 029](#) signed by the employee and a manager every 2 years
- You should not enter the SAP qualification (MED01) as complete without these forms on the staff file

Refer to [Management of locally held employee information](#) for guidance on the management of staff files and retention of documents.

Other staff with track certificates

Where operational employees work on the track they are subject to a track medical qualification (MED01) which is recorded on SAP. You must ensure that staff files include:

- a completed form [F0206 TSW027](#) received from Occupational Health for new entrants demonstrating they have received a medical
- a completed [F0207 TSW024](#) a self assessment questionnaire and medical and competence declaration [F0360 TSW 029](#) signed by the employee and a manager every 2 years
- a completed [F0546 TSW026](#) practical assessment undertaken as part of training every 2 years

You should not enter the SAP qualification (MED01) as complete without these forms on the [staff file](#).

Refer to [Management of locally held employee information](#) for guidance on the management of staff files and retention of documents.

Administering Occupational Health periodic medicals - AP

Information

AP administrators keep a spreadsheet identifying when their staff members are due for a periodic medical examination. As a member of staff approaches the ages of 20, 25 and 35, the administrator will send a confidential self-assessment medical [questionnaire (PAA1)](#) to the member of staff concerned for completing.

When a member of staff is due to have a medical you must:

- arrange an appointment with Occupational Health
- write to the member of staff with the appointment details
- file all the associated paperwork in the relevant staff file

Information

Occupational Health will confirm that they have received and reviewed the form. You will not receive a copy of the self-assessment questionnaire, which will be completed by the member of staff and returned to Occupational Health. The form will be stored with the outcome in their confidential medical record.

Administering Occupational Health periodic medicals - Occupational Health

Occupational health periodic medical administrators must

- use SAP transaction PSV2 to:

  – lock any unused appointments for the same day next week
  – process any cancellation and booking requests received via email
  – cancel 'no shows' from the previous day

- use SAP transaction S_PH9_46000434 (Attendee list) to see attendees for the next working day
- create medical services appointment for each of the attendees in accordance with the agreed schedule
- as required use the SAP transaction PSV2 to lock and unlock appointments to reflect changes in nurse or facility availability
- eight weeks before the end of the quarter (or anytime if more events need to be scheduled) review the bookings and advise your manager if a change is required in the number of events for the next quarter
- inform the employing manager if the employee is late, does not attend or attends for something other than a periodic medical examination

Referring a member of staff to Occupational Health

Information

Managers will refer the member of staff to Occupational Health for medical advice by filling in a referral form and sending it together with a consent form to Occupational Health.

When requested by managers, you must send the member of staff a Medical Consent form, requesting permission for Occupational Health to contact their doctor to discuss the case.

Notifying Occupational Health of a member of staff returning from long-term sick leave

Information

Occupational Health must be told when a member of staff is returning from long-term sickness. Occupational Health will decide if the member of staff needs a medical before returning to duty, whether they are returning to full or light duties.

Information

A member of staff must be referred to Occupational Health regardless of how long they have been absent if they cannot carry out a safety critical role, due to:

- a medical condition, or
- symptoms of illness, or
- medication

Information

Occupational Health will also decide if the member of staff's fitness for duty restrictions will be reviewed.

When Occupational Health has advised the employing manager of any medical restrictions or given medical advice, you must:

- enter the details in SAP, for example 'must wear glasses', or 'no track work'
- remove the 'fit' qualification in SAP, if the member of staff cannot carry out their role
- withdraw their licence, if one is held.

Warning

You must keep all paperwork relating to the member of staff's sickness in their staff file.

Related documents

▶ Night Workers Health questionnaire

📄 Confidential medical questionnaire PAA1

📄 F0206 TSW027

📄 F0207 TSW024

📄 F0360 TSW 029

📄 F0546 TSW026

Related links

▶ NIST – LU Operations SAP guidance –
    Occupational Health

▶ Occupational health handbook

▶ **Management of locally held employee information**

Contact

▶ Occupational Health.

Occupational health

▶ Medication and fitness for work guidance	▶ Health promotion

Organising and managing your team

▶ Managing team performance

▶ Administration roles

▶ Management team and folder meetings

▶ Employee engagement activities

▶ Allocating duty manager roles

HANDBOOK FOR ADMINISTRATORS

Payroll control

Important Note – LU Customer Operations: The contents of this Handbook page are currently under review. This does not mean that the content is invalid, Customer Operations and TfL Risk and Assurance Team continue to audit practices against this.

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Information

Payroll documents must show the name and grade of the person who:

- completes them
- certifies them
- authorises them

Authorising payroll documents

Information

Employing managers are authorised to sign all local payroll documents which are kept on site. They can also designate authority to duty or team managers.

Customer Operations
Processing variations to final shift plans

A variation is any change or addition made to the final authorised shift plan.

When entering variations into SAP, you must make sure they are:

- authorised by a duty manager or above
- entered on the authorised daily variation sheet
- F1971 Trains Manager Daily Variation Sheet
- F6150 Generic Daily Variation Sheet (for grades other than Trains Managers)

* For Line Operations the authorised variations are generated via TOCP (Train Operator Coverage Planner)

Recording unauthorised items of lateness, missing or absence from duties

Information

A duty or team manager will decide if pay will be deducted.

You must keep in the relevant staff file for seven years:

- the member of staff's memo of explanation
- the duty or team manager's decision

You must input in SAP any authorised pay deduction.

Refer to the [Management of locally held employee information](#) for guidance on managing staff files.

Recording overtime and other payments

You must make sure the payments on the authorised daily variation sheet (Customer Operations) or overtime form (Asset Operations) are recorded in SAP.

These include:

- overtime
- other duty payment
- higher duty payment
- protection master
- site person in charge

They must:

- have a start and finish time
- clearly include a meal break, if appropriate

- clearly identify if the overtime is paid at 'other rate' and the code for the rate
- be authorised by a duty or team manager or above

Asset Operations
Labour entry sheets

You must enter into SAP the hours each member of staff worked on each job as indicated in the staff time sheets which the team manager will give you.

Monitoring train staff pool hours

At the end of each four-week period, you must run the SAP pool hours report to check the hours worked by train pool staff.

You must review and monitor hours worked above those contracted, and where possible over the following four-week period, those hours must be balanced. Any hours worked in excess of contractual hours outside the framework agreement must be paid as overtime.

Warning

This does not apply where pool operators voluntarily change a duty (including changeovers via the syndicate)

Monitoring reserve staff and Special Requirements Team (SRT) hours worked

You must run a report each week to check the hours worked by reserve staff.

You must use this report to plan advance duties for reserve staff.

Information

The result of using the report to plan advance duties should be that reserve staff work their contractual hours. They should have no deficits in hours worked, nor should they generally have any overtime to be paid.

At the end of each 12-week cycle, you must record overtime by inputting any hours worked above those contracted for:

- station reserve duties
- signals reserve duties
- special requirements team duties

You must make sure that:

- deficits are carried forward in SAP to the next 12-week cycle
- hours carried over are kept to a minimum (no more than 8 hours)

Customer Operations
Processing mutual changeover of duties

Customer Services

Mutual changeovers of duties and rest days must normally be advised in writing to the centurion manager:

- one week in advance, or
- up to one shift in advance, in exceptional circumstances

Mutual changeovers must be authorised by a duty manager, or above, and signed by all staff affected.

Mutual changeovers must not breach framework agreements.

You must enter the duties into the shift plan in SAP and store them with the authorised variation sheets.

Line Operations

You must keep [proxy forms](#) on site and update them once a year.

If a member of staff acts as an authorised 'designate by proxy' for changeovers as agreed by the centurion manager, they must make sure all changeovers comply with relevant procedures.

For train syndicates, changeovers are monitored by duty managers to make sure:

- hours worked by all members are balanced

- the 12-hour rest rule is maintained
- there is no rest day working
- there is no carrying over of rest days to future periods, except for night turns

Cover duties for Customer Services and Line Operations staff

Cover duties can only be exchanged in line with current agreements or after display sheets have been distributed.

Line Operations pool staff

Pool staff can only exchange duties after display sheets have been distributed.

Weekly checks

Each week, you must generate from SAP:

- an absence audit report
- an employee remuneration audit report
- an overtime and attendance audit report
- report: ZHR_RPTERR00 and undertake the relevant actions to avoid PDC errors which may affect staff payments

Information

The employing manager will check these reports against:

- the display sheets
- the daily SAP Signing On Sheets (Customer Services only), Booking On Sheets and/or Signing On Sheets (Line Operations)
- the authorised daily variation sheets

You must ask the employing manager or their designated duty or team manager to sign and certify them as correct and a true record.

The manager must use the correct checklist to record their authorisation:

- [F1969 Trains Management Payroll Control Checklist](#)
- [F6152 Generic Payroll Control Checklist](#)
- [F6136 Train Operator Payroll Control Checklist](#)

Retaining documents relating to payrolls

Information

Authorised documents listed below must be retained on site and easily accessible, for their year of validity and the following year:

- duty roster
- change to duties, rest days
- authorised overtime or other rate working
- memos relating to pay deductions
- SAP generated SAP Signing On Sheets (Customer Services only), Booking On Sheets and/or Signing On Sheets (Line Operations)
- SAP generated reports on absence, remuneration, overtime and attendance
- authorised weekly display sheets
- authorised daily variation sheets

Information

Following the second year, they must be archived for a further five years.

Further information about archiving documents is in the Management of locally held employee information.

Dealing with pay queries

Information

If a member of staff has a query with their pay, they must complete the appropriate section of a Pay Query form and return it to you, with a copy of the relevant payslip.

When you receive the Pay Query form you must:

- investigate the query
- complete the appropriate section of the Pay Query form
- get authorisation from a duty or team manager or above, if a payment needs to be made
- update the SAP record
- return the completed form to the member of staff
- file the paperwork in the relevant staff file

Related documents

F5442 Mutual changeover of duties authority to sign in proxy

F1969 Trains Management Payroll Control Checklist

F6152 Generic Payroll Control Checklist

F1971 Trains Manager Daily Variation Sheet

F6150 Generic Daily Variation Sheet

F6136 Train Operator Payroll Control Checklist

F0220 Pay Query Form

Related links

▶ NIST – LU Operations SAP guidance – Pay

▶ Management of locally held employee
   information

Payroll management

Payroll control

Refer to the <u>Handbook for administrators</u> for instructions on payroll control and the <u>Organising and managing your team handbook</u> for manager's accountabilities.

Outstanding payments

If an employee tells you their payslip does not include what they were expecting, you must check whether the correct details such as overtime and allowances were entered in time for the pay run. If they were not and this causes hardship to the employee, you must:

- contact HR Services
- update SAP
- complete the <u>Application for Credit Payment form</u>
- fax the form to Payroll Services on the number they give you

Information

The underpaid money will be transferred to the employee via a credit transfer to their bank account as soon as possible.

If the underpayment has resulted in bank charges to the employee, Payroll Services will reimburse the bank charges as long as the employee can provide documentary evidence showing that the charges arose solely because of the underpayment.

If you have any queries about an employee's pay you must contact HR Services.

Overpayments

If you are told an employee has been overpaid, you must:

- contact HR Services

- arrange to recover this money by reasonable instalments
- agree the payments and timescales with the employee
- complete a [Recovery of Overpayment form](#) and fax this to payroll services on the number they give you

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Talk to HR

[Contact details](#)

[Support from Employee Relations](#)

Related links

▶   **Handbook for administrators**

▶   **Organising and managing your team handbook**

Related documents

📄   **Application for Credit Payment form**

📄   **Recovery of Overpayment form**

Principles and safety review

For guidance on how to complete the online change request form please refer to the Guidance Document G1084.

Warning

An accountable change owner must be appointed for any proposed changes.

The change owner must decide the governance of the change (for example, the levels of sign off) based on the assurance standard.

Supported by the relevant specialists, you must assess the associated risks of proposed changes that could potentially impact on:
- health and safety of staff and customers
- environment
- business and finance
- service to LU's customers
- compliance with European, National statutory requirements and LU's standards
- LU's reputation

If this initial assessment indicates that the changes have safety or other risk implications, a change assurance plan (CAP) is required.

The CAP must include an implementation plan that includes the identification of risk control measures that must be in place before, during and after implementation of the change.

Warning

The change owner is fully accountable for ensuring that all of the risks are identified and controlled and that all relevant parties are consulted and any issues arising closed out.

Once authorised by the change owner the online [change request form](#) must be completed and a copy of the CAP attached to the form. For guidance on how to complete the online [change request form](#) please refer to the Guidance Document [G1084](#).

CAPs may have to include a [Verification Activity Plan (VAP)](#) setting out how the management of the risk will be verified before, during and after the change. Alternatively a standalone VAP must be developed.

Information

For changes that have no risk implications, the change owner must be able to demonstrate that the risk implications were considered and those affected by the change consulted.

[Very complex changes or those that pose significant risk (or both)](#) will be reviewed by the Directors Risk Assurance Change Control Team (DRACCT). The following changes also need to be reviewed by DRACCT.

Changes which put into service new or altered
- rolling stock, rail vehicles and track trolleys
- signalling and signalling control systems
- operational infrastructure

You must consider any training needs that can arise from the introduction of the change.

Information

The 'request for safety review' option allows you to propose other changes that do not merit a CAP and would not necessitate changing a Management System document.

Communicate changes

Warning

You must communicate changes effectively to all affected staff.

You must consider whether consultation with the trades unions is required as part of the implementation. Contact the Employee Relations team for advice.

You must communicate any appropriate new/revised rules that affect your staff, ensuring that:

- Employees are made aware of the changes as soon as possible after you (or your nominated champion) receive them
- Employees are instructed in the new/revised rules and that they understand and follow them
- Employees sign for all changes they are issued with and, if the material is received electronically, an audit trail is developed to prove that employees have received or have been made aware of the contents
- Up-to-date copies of publications are available at their stations, depots, signal boxes, control rooms and signalling control centres

Related documents

📄 **Guidance Document G1084**

📄 **Assurance standard**

📄 **Verification Activity Plan (VAP)**

Related links

▶ **Online change request form**

Safety, security & environment

▶ Emergency planning and equipment	▶ APCD Safety Conversation
▶ Monitoring operational communication	▶ Managing security from Terrorism

Space allocation

Information

The space allocation process applies when space is required for new assets, staff use and storage on operational property. Assets replaced on a 'like-for-like' basis are exempt from this process as long as they are the same size or smaller and perform the same, or a very similar function.

Information

Applications for space can be made up to three years in advance, although this period can be extended for major projects.

Information

Further details on space allocation can be found in LU Standard [Allocation of Space on Operational Property](#).

Making a space allocation application

If you wish to apply for space on operational property, you must:
- check that the space is appropriate for your intended use
- engage with the location Landlord or asset owner
- check current and approved applications on the database or SA SharePoint site against new applications and address any clashes before submitting application
- complete an [Application for an Allocation of Space](#) on Operational Property form
- attach supporting documents (e.g. Station Layout Plans, Property Schedules and Plans, photographs) in word or PDF format
- return the form to the [Application for an Allocation of Space](#)

Information

The Space Allocation Team will:

- circulate the application form to designated stakeholders for their review, comment or objection
- approve the space application after the consultation period if there are no objections

Information

This process is subject to a 10 working day consultation period, after which the Space Allocation Team will approve the application if there are no objections raised. If the applicant wishes to appeal the decision, they must contact the Space Resolution Panel.

Information

The Space Allocation Team is responsible for liaising on space allocation conflicts.

Reviewing an application for space allocation within your area

When you receive a completed [Application for an Allocation of Space](#) on Operational Property form, you must:

- review the application
- reply to the Space Allocation Team within 10 working days of receiving the application email, stating any comments, queries or advice regarding the application before it is due for approval

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Contact

▶ LU Space Allocation Requests

Related documents

📄 Allocation of Space on Operational Property

📊 Application for an Allocation of Space

Staff and customer injury and other claims

Information

Gallagher Bassett International Ltd manages claims on behalf of TfL. Their contact details are:

- external telephone 01245 772200
- address: Eastwood House, 1st Floor, Glebe Road, Chelmsford, Essex, CM1 1QW
- email: GB.UK.Claims_Chelmsford@gbtpa.com

In more serious cases, Gallagher Basset use DWF Law LLP to support their work.

Claims procedure

If you receive a financial claim for any of the following issues, you must send it immediately to the LU Customer Service Centre:

- property damage affecting a customer or outside party
- personal injury to a customer
- other claims by customers, such as damaged clothing

If you receive a claim for accidents or illness affecting LU staff, you must send this directly to Gallagher Bassett.

Warning

You must not contact the person making the claim or their representative (solicitor) for any reason, even to acknowledge a letter.

You may be asked for information to help assess the claim. The request will be made by Gallagher Bassett or, in more serious cases, DWF Law LLP. You must provide the required information within the timescales given. The information is important.

Information

As an example, LU's solicitors could ask for the following documents:

- Electronic Incident Report Forms (EIRFs)
- workplace or customer risk assessments
- Visitors Log
- Log books

If in doubt, you must check with Gallagher Bassett or Group Insurance that the solicitors are representing LU before responding to their request for information.

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Contact

▶ **Gallagher Bassett International Ltd**

▶ **LU Customer Service Centre**

Related link

▶ **Insurance information**

Staff leaving service

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You must contact <u>NIST</u> for any further clarification or queries.

Information

Notice of a member of staff leaving the company is submitted in writing by either the member of staff themselves or the employing manager. <u>HR Services</u> must be informed when this happens.

Information

The employing manager and the member of staff will have an 'exit interview' to:

- discuss the reason
- make sure the member of staff has a copy of the relevant 'how to' guide depending on the reason for leaving the company
- confirm the leaving dates and reason
- keep a record of a forwarding address, if the member of staff will also be moving house

Information

If a member of staff resigns, HR Services will additionally:

- send them a letter directly when they leave the company
- send an e mail to the line manager confirming they have actioned the leaving request

You must 'unassign' the member of staff from the roster in SAP.

Notifying other departments

Notifying HR Services

Information

HR Services must be kept up to date with any change to details in the time between you contacting them and the member of staff's leaving date.

You must make sure HR Services are told:

- the leaving date and details
- whether the vacancy is to be filled through the nomination process
- if the member of staff needs to be booked on to a pre retirement seminar (this can be up to five years before they retire)
- if the member of staff is receiving any sponsorship for work-related study
- if the annual leave report in SAP is up to date
- the member of staff's new address, if this is changing

Information

HR Services will:

- tell the employing manager if the member of staff is entitled to any long service awards
- retirement certificates need to be ordered 6 weeks in advance by contacting HRS

Information

HR Services will also liaise with the member of staff regarding any outstanding money to be deducted from the final payment.

Notifying Telephone Services

You must arrange for the member of staff's details to be removed from the telephone directory. Please raise a service request to Telephone Services via NGSD or by calling 1555.

Notifying Ticketing and Revenue (LU Operations – Stations only)

You must collect the member of staff's Ticket Seller Identity (TSID) card. Advise the [Ticketing and Revenue team](#) to remove access to ticketing functions and return the TSID card to them.

Returning items

You must ask the member of staff to return:

- their staff travel facilities to [Staff Travel](#)
- their uniform to the employing manager's office, for disposal as per local arrangements
- any other LU property, such as keys and building passes, TSID card, to the employing manager's office

You must contact [HR Services](#) if the items are not returned, so that the final payment can be 'held in abeyance'.

Once all the items have been returned, you must tell [HR Services](#) so that they can process the final payment.

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Contact

▶ **Ticketing and Revenue team**

Related links

▶ NIST　LU Operations SAP guidance　Home

▶ Staff travel

▶ HR services

Stolen equipment

If any equipment such as desktop computers, laptops or mobile phones is stolen from your building, you must:

- log all incidents to identify any trends using the electronic incident reporting form (EIRF) or the incident line
- report all losses or thefts to the security team in your building
- report any theft to the police
- give the security team any crime reference number issued by the police
- keep your line manager up-to-date with the incident and any developments

Additionally, you must report lost or stolen mobile phones to the T&D Service desk on 1555 so they can be barred from further use.

You can find additional guidance on the Technology & Data Instructions & Guidance page: Reporting lost or stolen equipment or data.

Related links

▶ **Reporting lost or stolen equipment and data**

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Trades union facilities

Trades union notice boards

Information

LU provides a notice board for its recognised trades unions at locations where the local workforce are represented by trades unions.

Information

Keys are provided for the manager and the trades union representatives. The manager has ultimate responsibility for the trades union notice boards, although both parties are responsible for following the guidelines.

You should approve trades union literature before it is displayed on the notice boards, although it is recognised that it might not always be practical to do so.

You must make sure information displayed conforms to:
- general standards of decency
- LU's policy on workplace harassment. For more information see Employee conduct handbook

You must immediately remove from notice boards, including locked ones:
- individual grievances
- material which attacks another person
- inflammatory material (including misleading/factually incorrect material advocating industrial action)

If you need to remove inappropriate material, you must:
- return such material to the trades union representatives
- contact the ERM for advice and guidance and will, on the train side, consult with the Staff Side Secretary of the Tran's Functional Council

Trades union local level representatives facilities

Information

LU provides its trades union representatives with agreed facilities to carry out their union role. If any resources have been provided which are not on the agreed list, they must be withdrawn.

Information

If any additional items are requested, they must be approved by the Director of Employee Relations.

You must provide your trades union representatives with:
- a desk
- a lockable cabinet, if the desk is not lockable
- a notice board
- intranet and internet facilities (dedicated or shared)
- access to reference material, including relevant on-line health and safety resources, the LU library and the engineering library

Where possible, you must provide separate office space. If this is not possible, you must allow representatives access to a quiet area, where as part of their role they can have private conversations.

You must also provide representatives with access to:
- a printer (can be black and white)
- a fax machine, if available on site
- a photocopier (can be black and white)
- a landline phone

Information

This equipment does not need to be dedicated for representatives' use only.

Further details on facilities for trades union representatives can be found on the ER intranet pages.

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Related links

▶ Help and Advice

Trades union representatives release

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Information

Release of trades union representatives can be divided into two areas:

- release for trades union duties
- release for trades union activities

Information

Release for trades union duties is for LU-related business. As long as it is with prior management agreement, this release is paid.

Information

Release for trades union activities is to undertake business exclusive to their relationship with their trades union and is unpaid.

Information

All TU release (paid and unpaid) must be recorded in the appropriate business operating system.

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Related links

▶ NIST – LU Operations SAP guidance – Absence and Attendance types

▶ Trade union representative release arrangements

Types of trades union representation

Information

There are several different types of union representations in LU. These are made up of:

- Industrial Relations (IR) representatives
- Health & Safety (H&S) representatives
- Union Learning representatives (ULR)

Information

As a manager, you are likely to be involved with each of these locally. For IR issues, the formal meetings are known as 'level 1', and for H&S issues, they are known as 'tier 1'.

Information

Where an issue has both IR and H&S implications, the manager and local staff side secretary will agree the most suitable meeting for discussion. An item can only be discussed at tier 1 or level 1, not both.

Working with trades union representatives

As a manager, you are responsible for:

- making sure agreed resources are provided
- negotiating and consulting with IR representatives
- consulting with H&S representatives

For details of trades union facilities for H&S and IR, refer to the [facilities section](#) of this handbook.

For details of trades union facilities for learning representatives, refer to the [learning representatives](#) section of this handbook.

Local administration

You must keep the following records related to your local representatives:

- their contact details
- time spent released from normal duties - this time must be recorded in SAP along with the specific reason for the release
- training received

You must make sure local representatives maintain their licences and competence.

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Related links

▶ **Trades union facilities**

▶ **Learning representatives**

HANDBOOK FOR ADMINISTRATORS

Unauthorised staff absence

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Recording absences and attendances in SAP

Information

In SAP, the following terms are used for specific issues

- authorised absence for items such as annual leave
- unauthorised absence for items such as sickness
- attendance for items such as training or Occupational Health appointments
- overtime is termed as attendance

You must record in the appropriate business operating system absences and attendance.

Station staff absences and attendances must be recorded and maintained using the appropriate business operating system.

Staff absence

Information

All unauthorised absence cases must be discussed each week by the employing manager, their administrative assistant and duty or team managers if available. This will help to manage the process consistently and effectively.

For further information, refer to the Attendance page.

When told by your manager, you must send the member of staff:

- the standard [non attendance](#) letter reminding staff of their responsibilities under the Attendance At Work policy, or
- a personal letter from your manager, if more appropriate
- and in both cases, a self certification of sickness form

Information

If the member of staff does not make contact, they must be written to on the first day of absence.

Setting up a 'live file'

When you are told of a non-attendance item, you must set up a 'live file' for the member of staff. Refer to the [Management of locally held employee information](#) for guidance on the management of staff files.

Warning

You must store 'live files' in a secure location, which is only accessible by yourself, the employing manager and duty or team managers.

You must include:

- the non attendance case record
- the details of the initial contact
- an attendance printout of the member of staff for the last two years
- a summary of every contact with the member of staff

You, or a duty manager, must make sure the summary of contact includes:

- notes of all telephone calls
- notes of meetings attended
- letters sent and received
- medical certificates received
- any other relevant information

You must also record any management actions taken, such as contact with Occupational Health.

You must keep the 'live file' open until the member of staff returns to work and a return to work interview has been completed.

Recording an absence in SAP

Any variations to published duties must be recorded and maintained according to business guidelines using the appropriate business operating system. You must regularly review and update the business recommended system as the diagnosis of the member of staff's illness might change.

Information

SAP will automatically update the shift plan, but will not cover the duty.

When the member of staff returns to work, you must record in SAP:

- any certificate details
- the details of the return to work interview
- any subsequent non-attendance warnings issued to the member of staff

You must also keep the 'live file' in the relevant staff file.

COO

When producing the amended authorised shift plan for the following week, you must arrange staff cover for duties for absent members of staff for:

- the following week
- any further weeks the member of staff will not attend work

Preparing for disciplinary interviews or case conferences for unsatisfactory attendance

Information

A member of staff has unsatisfactory attendance if they have a pattern of non-attendance that is causing concern, or if they have been absent for:

- 2 or more items in 13 weeks, or
- 2 or more items totalling 5 or more days in 26 weeks

You must run the SAP Attendance at Work report each week, to identify any staff who have triggered a warning.

If a local disciplinary interview is to be held by a duty manager, you must give them:

- all the paperwork for the item of sickness
- the absence calendar from SAP
- the absence summary from SAP

Information

The duty or team managers can run these reports themselves.

You must record the outcome of the disciplinary hearing in SAP.

If the member of staff appeals against the decision of the disciplinary interview, you must also record the outcome of the appeal in SAP.

Information

Your manager might find it useful to have a progress log for staff who have triggered a warning.

If required, you must detail:

- the name of the member of staff
- which duty or team manager is dealing with the case
- the date the paperwork was given to the duty or team manager
- any action taken by the duty or team manager

Information

Your manager might decide to hold a case conference with the member of staff. This will generally be attended by:

- the employing manager
- the member of staff
- a trades union representative or workplace colleague, if requested by the member of staff
- an HR representative

Information

When organising the case conference, your manager must allow reasonable time for the member of staff to arrange for a trades union representative to attend, if required.

You must send a letter, on behalf of your manager, to the member of staff arranging the case conference. Please speak to your PMA for an appropriate template.

You must take notes at the case conference, if requested.

Maintaining disciplinary files

The instructions for maintaining disciplinary staff files are in the [Management of locally held employee information](#).

Dealing with lateness

Information

If a member of staff is late for work, a memo to explain the lateness will be requested, if necessary. The duty or team manager will interview the member of staff as soon as possible and take notes.

You must:

- record the member of staff's lateness details in the appropriate business operating system.

Preparing the paperwork when a warning is triggered

If a local disciplinary interview is to be held by a duty or team manager, you must give them:

- all the paperwork for the item of lateness
- the lateness calendar from SAP
- the lateness summary from SAP

Information

The duty or team managers can run these reports themselves.

Recording actions for absence or lateness

If a local disciplinary interview is held by a duty or team manager, you must record the outcome in SAP using 'Maintain Time Data   Time Management Data'.

Information

The duty or team manager can record an AAW related action themselves using 'my staff at work   attendance   absence management'.

Related links

▶ **NIST - LU Operations SAP guidance – Absence and Attendance Management**

▶ **Attendance**

▶ **Management of locally held employee information**

Related documents

📄 **Non-attendance letter**

HANDBOOKS FOR ALL LU MANAGERS

Working with contractors

▶ Managing cleaning contractors and waste disposal	▶ Contractor liaison
▶ Storage of materials	▶ Space allocation
▶ Fault Reporting	

HANDBOOKS FOR ALL LU MANAGERS

Working with stakeholders

▶ Managing tenants and other non fare revenue	▶ Charity collectors and buskers
▶ Dealing with the press	▶ Staff and customer injury and other claims
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HANDBOOKS FOR ALL LU MANAGERS

Working with trade unions

- ▶ Types of trades union representation

- ▶ Managing local level meetings

- ▶ Items escalated from local level

- ▶ Trades union facilities

- ▶ Conditions of release for representatives

- ▶ Learning representatives

- ▶ Managing the service during industrial action