Change Assurance Plan

Title:	Fit for the Future - Stations
Date:	20th November 2013
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1.0 Purpose

1.1 This Change Assurance Plan outlines the overarching proposals for changes to LU Operations. Specifically it covers the overarching change management assurance principles that will underpin the change. It assesses the headline hazards and risks identified at this point in the change programme. Further detailed Change Assurance Plans will be developed on specific proposals associated with this change as outlined in sections 2.3 and 2.4 below. These will assess specific risks in more detail.

1.2 Consultation on the safety aspects of all these changes will be progressed through LU's normal health and safety processes via the Trade Union Health and Safety representatives who represent the employees affected by these changes.

2.0 Introduction

2.1 The purpose of 'Fit for the Future – Stations' is to transform the way LU runs its stations, focusing on staffing arrangements, customer service and associated processes in order to improve performance and reduce operating costs. Ensuring safe and easy access to a reliable train service underpins the purpose of the programme.

2.2 The Rail and Underground Leadership Team has defined seven principles that set out a vision for the future customer experience on the Underground:
   1) Every station rostered to be staffed, with staff more visible and available to customers and accountable for customer service
   2) The grouping of LU stations in four distinct categories, matching the needs of different customers and different locations
   3) TfL visitor offer building on the success of the Games
   4) A transformed online offer underpinning all changes to the station proposition and TfL's operational services
   5) Simple ticket purchase and after-sales support
   6) Reliable, consistent, multi-modal information at every station – and everywhere
   7) Stations look and feel welcoming, safe places, connected to their surroundings and that people want to spend money in.

2.3 Based on this the proposals are split into 5 categories:

1) Station Staffing Model
2) Station Process Improvement
3) Ticketing
4) Technology (e.g. handheld devices for staff)
5) Built Environment

2.4 This Change Assurance Plan focuses on the Station Staffing Model. The impacts of other proposed changes listed and any further associated changes will be the subject of bespoke Change Assurance Plans.

2.5 The proposal entails changes to the way that stations are categorised and changes to the station staffing model.

2.6 During the formulation of the proposals, the consideration of the safety implications was paramount. A wide range of experienced senior managers with a sound understanding of the business and its health and safety requirements were involved in the stations operations model creation via workshops. Staff and Customer research has also been undertaken.. Assessment of risks in greater detail is outlined in section 3 and Appendix 1. This is an ongoing activity and a detailed risk register will be maintained.

2.7 There are no changes proposed to Train Operations, Train Operators, Service Control or Senior Management. There are also no changes to operational procedures relating to trains. Staff will continue to respond to trains incidents as per current arrangements.

3.0 The Station Staffing Model

Station Categorisation

3.1 The proposed new station operating model will be applied across the network and is structured to meet the varying requirements of different station types.

3.2 The potential restructuring of station staffing reflects the varying needs and requirements of these different station types, in order to provide a customer service offer better matching the customers' specific needs.
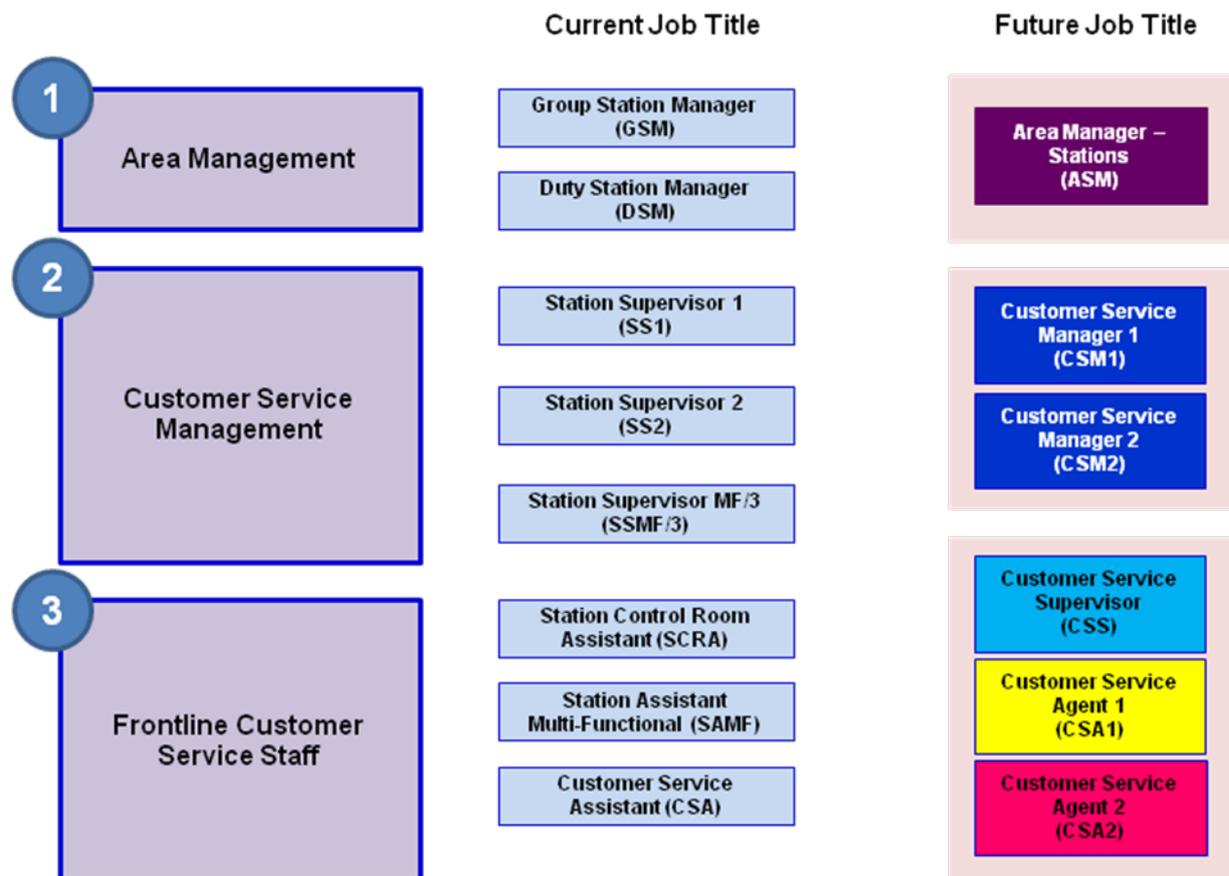
3.3 Across London Underground four types of station will be referred to:

1) **Gateway** – these stations are the main visitor entry points to London, with a high proportion of people unfamiliar with the Tube network, such as King's Cross St. Pancras, and Heathrow Terminals 1, 2, 3. At these stations Visitor Information Centres will be in place.
2) **Destination** – these busy, high profile stations in central London, have high volumes of customers, and include commuter rail termini and tourist destinations, such as Embankment.
3) **Metro** – these stations serve predominantly inner London communities, with many regular users and low levels of unfamiliar users, such as Clapham South.
4) **Loca**l – these smaller stations, in outer London or beyond, have lower customer numbers and serve mainly regular customers with low off peak usage, such as Rickmansworth.
   - **Local A:** Some operational risk, lifts, points, some congestion
   - **Local B:** Very low operational risk, no lifts, no points, no congestion issues and are open section.

3.4 These reflect the different roles which stations play across London.

Proposed Station Staffing Model

The diagram below shows a summary of the proposed changes to station roles in the 3 tiers of frontline customer service, customer service management, and area management. The current and proposed job titles are shown with lines between these to demonstrate the possible transition route.

	Current Job Title	Future Job Title
1 Area Management	Group Station Manager (GSM) Duty Station Manager (DSM)	Area Manager – Stations (ASM)
2 Customer Service Management	Station Supervisor 1 (SS1) Station Supervisor 2 (SS2) Station Supervisor MF/3 (SSMF/3)	Customer Service Manager 1 (CSM1) Customer Service Manager 2 (CSM2)
3 Frontline Customer Service Staff	Station Control Room Assistant (SCRA) Station Assistant Multi-Functional (SAMF) Customer Service Assistant (CSA)	Customer Service Supervisor (CSS) Customer Service Agent 1 (CSA1) Customer Service Agent 2 (CSA2)

Area Manager - Stations

3.5 It is proposed that the Group Station Manager and Duty Station Manager grades will be amalgamated. Their responsibilities will remain broadly similar to the GSM role today, with all of the accountabilities (including landlord accountability) retained. They will be accountable for a smaller number of stations than currently. This will see an increase from the current 37 groups to 96 areas. TfL business partners will support on relevant activities (e.g. Human Resources, Contingency Planning and Health, Safety & Environment). This is to ensure support areas appropriately align to the proposed stations operating model and duplication of work avoided.

3.6 The rationale for the introduction of this role is to strengthen management accountability. Managers will be closer to the front line and will enable the development of the new Customer Service Management role (which is outlined further in sections 3.7 to 3.10 below).

Customer Service Management

3.7 It is proposed that the current Station Supervisor roles will be replaced by the Customer Service Manager role, taking accountability for first line staff management and day to day customer service performance, including safety.

3.8 Key changes to this role compared to the Station Supervisor role will be:
- A single point of on shift accountability for customers and staff with double supervision (e.g. 2 supervisors at a given location) removed
- Rather than 'supervise', this role will provide customer service management with line management accountability for staff (including managing performance and development)
- Responsible for incident management until a Duty Reliability Manager or Network Incident Response Manager is available, where relevant.

3.9 Customer Service Managers will be accountable for the daily operation of a station or small number of stations. Where they are responsible for a small number this will be on a mobile basis. Their responsibilities will include managing station staff, inspiring staff to deliver world class customer service and maintaining safety. They will also be responsible for the day-to-day performance of the station or stations. There will be Customer Service Managers 1 and 2, this reflects the workload etc at Gateway and Destination stations compared to Metro and Local stations.

Proposed Frontline Customer Service Station Staff

3.10 It is proposed that Station Control Room Assistants, Station Assistants Multi-Functional and Customer Service Assistants are replaced by Customer Service Supervisors and two varieties of Customer Service Agent.

Customer Service Supervisor

3.11 This role will support the Customer Service Managers in the daily running of stations:
- In Gateway and Destination stations they will have delegated responsibility for an area of the station such as the ticket hall or control room, motivating station staff to deliver a world class service
- They will run Local A stations overseen by a mobile Customer Service Manager 2

- They will be operationally qualified to the same level as Station Supervisors today and will be able to cover the Customer Service Manager for short periods of unavailability, for example during meal breaks
- They will carry out some people management activities such as performance management and day-to-day staff deployment

3.12 The role will be based in main ticket halls or control rooms at larger stations or deployed in Local A stations where operational licences are required (further detail on the licences staff require is included in Appendix 2).

3.13 The rationale behind this is that they will be operationally qualified and able to support Customer Service Managers in Gateway and Destination stations and have delegated responsibility when in control rooms for deploying staff as necessary.

3.14 When in the ticket hall they will help drive excellent customer service provision.

Customer Service Agents (1 and 2)

3.15 Both of these proposed roles will be accountable for providing ticketing information and advice, and assisting customers at the ticket machines, working on the paid and unpaid sides of ticket halls. They will also support customer flow through stations.

3.16 Customer Service Agent 1s will undertake routine safety and security checks throughout stations, support operational response to incidents including reporting incidents, faults and lost property. They will also carry out platform duties (e.g.SATS).

3.17 Customer Service Agent 2s will be designated solely to customer service at Gateway and Destination stations.

3.18 The introduction of these roles will ensure that there are visible and available staff in the ticket hall where customers need them most. This will improve customer service through staff focussing solely on customer service provision in key locations and will also ensure this is not compromised during operational incidents. There will be more available help at ticket machines and skills and knowledge will be better aligned to where they are needed.

Group Management Administration

3.19 It is proposed that the Centurion Administrator role description will remain unchanged and that options to align activities with the new management structure will be discussed as consultation about these proposals progress. This will include:

- End to end coverage, including advanced cover, amended cover and emergency cover during extended working hours
- General administrative activities including processing starters' and leavers' paperwork and uniform ordering
- Providing administrative support to Area Managers through diary management

Proposed new staffing roles across station types

3.20 The new staffing roles across station types are included in Appendix 2. In summary there are 4 models of station types however a variant on the staff required at local stations is necessary as some will require operational competencies. The principle is to

match competencies with demand more closely than today for better value and to maintain the appropriate level of response to incidents and customer needs.

4.0 Assessment of risk for changes impacting stations

<u>Workplace & Customer risk assessments</u>

4.1 The safety and security of staff and customers is, and will always remain, LU's number one priority. LU's safety performance has consistently improved; this improvement is a result of our strong safety management system, including the training and professionalism of our staff.

4.2 The principal risk assessment models LU utilises to identify, evaluate and control risks to our staff and customers are:

- Workplace risk assessment (WRA)
- Customer risk assessment (CRA)

4.3 The WRA process remains unchanged from that currently in operation. There will continue to be sufficient and competent lead risk assessors, who, in consultation with local Health and Safety Representatives will undertake / review the WRA for stations in light of any changes / incidents or at least every three years in line with LU Standards.

4.4 The impact of the change proposals will be reviewed at all affected locations, and a programme for the review of relevant WRAs will be devised following compilation of the revised rosters prior to change implementation. Local Health and Safety Representatives will be consulted as part of this review programme.

4.5 The customer risk assessment (CRA) process remains unchanged from that currently in operation. Each station group will continue to have sufficient and competent lead assessors, who will review the CRA for the station in light of any changes / incidents or at least every three years in line with LU Standards.

4.6 Issues raised as part of the consultation process around the proposed changes will be recorded in an issues log.

4.7 It is not anticipated that there will be a significant increase in risk associated with the proposal. However with respect to WRAs, particular attention will be paid to:
- lone working
- stress and pressure to complete tasks
- security
- assault.

4.8 With respect to customer risk assessments particular attention will be paid to:
- security
- incident response.

<u>Congestion Control and Emergency Plans (CCEP)</u>

4.9 Each station has a bespoke CCEP as per the model which presently exists. CCEPs for all stations will be reviewed in light of the proposed changes to ensure that they remain fit for purpose.

4.10 All stations will continue to be operated in line with the LU Rule Book. Therefore stations will continue to operate with defined minimum numbers as required by the Fire Precautions (Sub-Surface Railway Stations) (England) Regulations 2009 and station emergency response to incidents will be unchanged.

4.11 However, when Congestion Control and Emergency Plans are reviewed as part of this change, the criteria used to determine the minimum numbers will be examined and if necessary proposals made to modify these where there are inconsistencies or improvements are identified.

Station familiarisation

4.12 As is the requirement today, all staff will be suitably familiar with all locations at which they are required to work. As a result of the proposal, all affected staff will receive station familiarisation at any location at which they are required to work as stipulated in the LU Rule Book.

Track familiarisation

4.13 If track familiarisation is requires at a location, this will take place within 6 months of commencing work at this location. This will impact on Customer Service Supervisors specifically.

Staff responsibilities

4.14 Local A stations (which have specific operational requirements) will be staffed by an operationally qualified Customer Service Supervisor, and Local B stations by a Customer Service Agent. This will include duties over night. Therefore staff of a lower grade than current Station Supervisors will be the dedicated staff for these stations. However, both grades will be supported by a roving Customer Service Manager 2. And as areas will be smaller this means that these Customer Service Manager 2s will be readily available in the event that assistance is required.

4.15 Security of stations is not dependent on staff grade and in terms of lone working there are current rules in place to manage this. Risk assessments and CCEPs will be reviewed prior to implementation.

Arrangements to Ensure Competence of staff working at all locations

4.16 All staff will be suitably competent to undertake the duties for the locations where they are required to work and the roles that they will be undertaking. All will be covered by the LU Competence Management System (CMS). There are no changes proposed to the licensing regime. The competencies required will be mapped, risk assessed and any impacts mitigated against via training.

4.17 The Rail and Underground Leadership Team in consultation with local management will ensure that appropriately graded staff are allocated to work at given locations.

Station Control Rooms

4.18 In future, control rooms will be staffed according to demand and security requirements. Due to the proposed management structure, accountabilities of staff will be clear, staff

will be more visible and available on stations therefore incidents will continue to be managed effectively and efficiently.

<u>Ticket Offices</u>

4.19 It is proposed that all ticket offices will be closed as part of this change. Ticket selling will therefore be provided by staff in the ticket hall and all ticket office functionality will be moved to ticket machines, off station or stopped. There will be more and better ticket machines to meet future demand and improve the customer experience at all locations. Further detail on this will be provided in a separate Change Assurance Plan.

4.20 It is not anticipated that there will be an increase in risk associated with this as staff will be more visible to provide assistance to customers when they need it. However, as detailed in section 4.7 above, WRAs will be reviewed prior to the changes being implemented.

4.21 The potential for congestion as a result of this change has been modelled and new machines will be installed as necessary. It is anticipated that demand for these will fall further with new online technology being introduced. Queuing systems will be looked at where necessary and it will be made clear which of these will have a staff presence. CCEPs will also be reviewed which will consider the potential for increased congestion as a result of this change (e.g. customers queuing at ticket machines).

<u>Change Implementation</u>

4.22 The implementation of the proposed changes will be phased on an area by area basis. There will be a 'Transition Team' in place to cover locations whilst staff receive the training required to support the changes. The 'Transition Team' will be competent to undertake all required activities, will be licensed and will receive the necessary familiarisation.

4.23 The proposed changes will also be piloted where possible prior to implementation to ensure that any potential issues are identified and addressed.

5.0 Verification and change management

5.1 During the implementation, and post implementation of the proposed changes a number of potential risks have been identified. The matrix in Appendix 1 details these potential risks and the associated control measures.

5.2 In order to ensure risks are mitigated to as low as is reasonably practicable, the activities listed in Appendix 1 have been identified as necessary. The Rail and Underground Leadership Team Programme Manager will ensure that those accountable have undertaken the actions assigned to them.

6.0 Implications for the LU Safety Certificate

6.1 The proposal outlined in this paper will affect the LU Safety Certificate and Authorisation document. Discussions will take place with the Office of Rail Regulation regarding the content of this.

7.0 Implications for LU Standards

7.1 The proposed change will impact on the Rule Books, associated guidance, training and other LU Standards. Consultation will be undertaken with the Business to ensure that all of these are identified and updated as necessary.

8.0 Process for Consultation / Communication

8.1 Meaningful, effective and timely consultation with key stakeholders will contribute to the effective control of risks, and the smooth implementation of the changes proposed in this paper.

8.2 Consultation on the proposals outlined in this paper will take place at Tier 2 level of the LU Health and Safety Council machinery. Each of the Stations and Revenue and MATS Health and Safety Councils will convene – on an ad hoc basis if necessary outside of the established meeting schedule – to discuss the proposals.

8.3 As per existing arrangements, copies of necessary paperwork will be made available in good time in advance of the Tier 2 Health and Safety Council meetings referenced above.

8.4 Engagement will be undertaken with regulators, including the Office of the Rail Regulator. It will also be undertaken with other key stakeholders including the London and Emergency Planning Authority and British Transport Police.

8.5 An issues log will be maintained throughout the consultation period, whereby queries raised will be recorded and responded to.

9.0 Conclusion

9.1 The impact of the proposed changes on station operations has been fully considered and discussed in this paper, and will be verified against existing procedures.

9.2 It is thus concluded that the health and safety risks arising from these changes can be successfully managed as low as reasonable practicable.

10.0 Appendices

Appendix 1 – Risk Table

Hazard	Control Measure	Risk	Owner	Verification Activity
1. Employees become confused, demoralised, stressed or distracted due to	• Management Support.	Medium	Line Performance Teams	None –in line with current management support activities.
	• Regular communication regarding progress & reinforcement of current		Xavier Brice – Head of Fit for the Future Stations	Ensure communications plan is implemented and monitored.

Hazard/Risk	Control Measures	Risk Rating	Responsible	Further Action
uncertainty etc, during HR processes.	responsibilities.			
	• Safety performance monitoring and corrective action if necessary.		HSE Managers	None – this is a current activity.
	• LUOH assistance		LUOH	N/A this is a current process
	• Employee assistance		N/A	N/A this is a current risk control
2. Confusion regarding accountabilities /responsibilities of different grades of staff.	• Job descriptions will be clear.	Low	HR / ER	Consultation will take place with TU representatives in accordance with current procedures.
	• Staff will be appropriately trained for the roles that they will undertake.		Network Operational Learning	Ensure training has been developed to match revised station operating model and training plan is in place and monitored.
	• Staff communication will be undertaken throughout the change period.		Xavier Brice – Head of Fit for the Future Stations	Ensure communications plan is implemented and monitored.
3. Increase in stress and pressure to complete tasks as a result of proposed change e.g. increased	• Management Support.	Low	Line Performance Teams	None –in line with current management support activities.
	• Staff communication will be undertaken throughout the change period.		Xavier Brice – Head of Fit for the Future Stations	Ensure communications plan is implemented and monitored.
	• Smaller station groups.		N/A	N/A
	• Re-allocation		Xavier Brice –	Check mapping

responsibility of Customer Service Representatives	• of responsibilities to other proposed grades of staff.		Head of Fit for the Future Stations	process completed to ensure all responsibilities / accountabilities have transferred.
	• TfL Business Partner Support.		Xavier Brice – Head of Fit for the Future Stations	Confirm TfL Business Partner Support is in place.
	• Staff will be appropriately trained for the roles that they will undertake.		Network Operational Learning	Ensure training has been developed to match revised station operating model and training plan is in place and monitored.
4. Organisation design is inappropriate resulting in safety risk.	• Safety (and other) performance monitoring and corrective action if necessary.	Low	HSE Managers	None – this is a current activity.
5. Individual job designs / descriptions are inadequate.	• New / revised job descriptions for revised / altered roles will be produced .	Low	HR/ER	Consultation will take place with TU representatives in accordance with current procedures.
	• Competencies / responsibilities will be mapped.		Xavier Brice – Head of Fit for the Future Stations	Check mapping process completed to ensure all responsibilities / accountabilities have transferred.
6. Safety critical activities are overlooked or lost during transition.	• No changes to competence requirements of safety critical staff.	Low	Xavier Brice – Head of Fit for the Future Stations	Check mapping process completed to ensure all responsibilities / accountabilities have transferred.
	• Competencies / responsibilities will be mapped.		Xavier Brice – Head of Fit for the Future Stations	Check mapping process completed to ensure all responsibilities /

				accountabilities have transferred.
7. Non-safety critical activities are overlooked or lost during transition.	• Current competencies / responsibilities will be mapped to appropriate staff.	Low	Xavier Brice – Head of Fit for the Future Stations	Check mapping process completed to ensure all responsibilities / have transferred.
	• Any changes to these activities will be consulted on via specific Change Assurance Plans.		Xavier Brice – Head of Fit for the Future Stations	Confirm specific Change Assurance Plans are completed.
8. Insufficient / inadequate station management due to amalgamation of GSM/DSM role resulting in safety risk.	• Smaller station groups.	Low	N/A	N/A
	• Re-allocation of some responsibilities to other proposed grades of staff.		Xavier Brice – Head of Fit for the Future Stations	Check mapping process completed to ensure all responsibilities / accountabilities have transferred.
	• TfL Business Partner support.		Xavier Brice – Head of Fit for the Future Stations	Confirm TfL Business Partner Support is in place.
	• Staff will be appropriately trained for the roles that they will undertake.		Network Operational Learning	Ensure training has been developed to match revised station operating model and training plan is in place and monitored.
	• Safety (and other) performance monitoring and corrective action if necessary.		HSE Managers	None – this is a current activity.
9. Station control room activities	• Resource will be focussed as required.	Low	HSE Managers	Safety (and other)
	• Staff will be more visible			

decreased leading to inadequate station management / incident response.	and available to customers.			performance monitoring and corrective action as necessary.
	• No changes to procedures for incidents and emergency situations			
10. Customer Service Agents required to work alone (previously only undertaken by Station Supervisors). Leading to inadequate station management and risks associated with lone working (e.g. assault)	• Current Rules, arrangements in place for lone working.	Low	N/A	N/A
	• Risk assessment review.		Line Performance Teams / HSE Managers	Confirm WRA and CRA reviews have been undertaken.
	• Supported by a roving Customer Service Manager.		Line Performance Teams / Contingency Planning	Confirm CCEP reviews have been undertaken
11. Decreased station security as a result of change.	• Stations will continue to be rostered to be staffed	Low	N/A	N/A
	• Security checks are a legal requirement and will continue to be undertaken.		Operational Security	None – no changes to station security levels.
12. Increase in staff assault as a result of increased staff presence in ticket hall.	• The same control measures will remain for mitigating against staff assaults.	Low	N/A	N/A
	• Risk assessment review.		Line Performance Teams / HSE Managers	Confirm WRAs and CRAs have been undertaken.
	• Modelling has been undertaken		Xavier Brice – Head of Fit for the Future Stations	Confirm modelling has been undertaken.

13 Increase in congestion as a result of ticket office closures.	• New machines will be installed where necessary.	Low	Xavier Brice – Head of Fit for the Future Stations	N/A
	• Queuing systems will be looked at where necessary		Xavier Brice – Head of Fit for the Future Stations	Confirm queuing systems have been considered.
	• CRA / WRA review		Line Performance Teams / HSE Managers	Confirm WRAs and CRAs have been undertaken.
	• CCEP review		Line Performance Teams / Contingency Planning	Confirm CCEP reviews have been undertaken
	• Current Rules for congestion management.		N/A	N/A
14 Changes to minimum numbers impact on incident response / evacuation.	• CCEPs reviewed with competent people as part of this proposal.	Low	Line Performance Managers / Contingency Planning	Confirm CCEPs have been reviewed.
	• Stations will continue to be staffed in line with legal requirements.		N/A	N/A
13 Rule Books, guidance, handbooks and other LU standards do not reflect changes to the organisation	• Relevant document owners consulted on proposal and documents will be updated in line with changes.	Low	Xavier Brice – Head of Fit for the Future Stations	Confirm consultation has been undertaken with relevant document owners / areas and proposed changes have been programmed.

- All stations will be staffed, and all staff will be trained to deliver proactive customer service.
- At Gateway stations (and Piccadilly Circus) dedicated Visitor Information Centres (VICs) will provide additional support to customers.
- Delineation between staffing categories is based upon operational requirements. Customer Service staff may be assigned to any location to undertake specific train service activities.

Job Roles

Role	Ops Qualification	People Qualification	Customer Qualification
CSM 1/2	Full	Full	Full
CSS	Full	Some	Full
CSA1	As req.	None	Full
CSA2	None	None	Full
VIC	n//a	n/a	n/a

Gateway
Dedicated

6 Stations

Focal points for unfamiliar customers, these are stations with Network Rail interchanges and Visitor Information Centres. Staffed with static Customer Service Manager 1 and Customer Service staff.
A full-time station monitoring/control function and other support provided by CSSs.

Destination
Dedicated

28 Stations

Operationally complex locations, with high customer numbers, staffed by a static Customer Service Manager 1 and a complement of Customer Service staff.

A full-time station monitoring and control function also provides further reassurance to passengers.

Metro
Dedicated

102 Stations

Operationally complex stations, typically below ground, with a static Customer Service Manager 2 supported by Customer Service staff throughout the traffic day.
At some locations station monitoring and control function will be utilised as required.

Local A
Roving

65 Stations

Surface stations with low customer volumes and specific operational requirements, staffed by an operationally qualified CSS, who is supported by a roving Customer Service Manager 2.

Local B
Roving

60 Stations

Surface stations where no operational licence is required. Staffed by a Customer Service Agent 1, managed by a roving Customer Service Manager 2.