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CORPORATE GOVERNANCE

Management Plan Volume 1 - Corporate, Support and Specialist Function Directorates

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| 4.0 | Document refreshed to reflect changes in organisation. Main amendments include: Management Plan Volume 4 – Operations now includes RSD Management Plan reference updates |

Learning Legacy Document

Contents

| | |
|---|-----------|
| 1 Purpose | 4 |
| 2 Scope | 4 |
| 3 Procedure | 5 |
| 3.1 Governance | 5 |
| 3.2 Management Responsibility | 6 |
| 3.3 Organisation | 7 |
| 4 Vision, Values and Policies | 8 |
| 4.1 The Crossrail Vision | 8 |
| 4.2 The Crossrail Mission | 8 |
| 4.3 The Crossrail Values | 8 |
| 4.4 Corporate Policies | 8 |
| 5 Management Plans for Corporate, Support & Specialist Function Directorates | 8 |
| 6 Assurance and the Crossrail Management System (CMS) | 9 |
| 6.1 Programme Assurance | 9 |
| 6.2 Crossrail Management System (CMS) | 10 |
| 7 Reference Documents | 11 |
| 8 Standard Forms / Templates | 12 |
| 9 Appendices | 12 |

1 Purpose

The Crossrail Management Plan, documents the arrangements adopted by Crossrail for the delivery of the Crossrail Programme in accordance with the Delivery Strategy [Ref 30]. It is arranged into four volumes as follows:

Volume 1: Corporate, Support and Specialist Function Directorates [Ref 1] – **This document**
Documents the governance arrangements and references corporate function, support function and Programme specialist management plans.

Volume 2: Central Section Delivery [Ref 2]

Mandates how the Crossrail Central Section Delivery Directorate manages the Central Section which comprises of the Central Section Works by contractors engaged directly by Crossrail and other works by Delivery Partners. Invoking appropriate function support plans, processes and procedures (mandated in corporate and programme support directorate management plans) and augmenting them with appropriate Central Section Delivery specific processes and procedures and referencing the Construction Management Plan, Construction Quality Plan and Project Construction Execution Plans.

Volume 3: Surface Delivery [Ref 3]

Mandates how the Crossrail Surface Directorate manage the Surface Works which comprise the On Network Works undertaken by Network Rail and other work by contractors engaged directly by Crossrail. Invoking appropriate function support plans, processes and procedures (mandated in corporate and programme support directorate management plans) and augmenting them with appropriate Surface Delivery specific processes and procedures and referencing supporting plans.

Volume 4: Operations [Ref 4]

The Operations Management Plan describes elements of the Crossrail project for which the Operations Directorate is accountable, including the delivery of the Rolling Stock, Depot and associated Services and working as RfL's agent to manage the delivery phase.

Mandates how the Crossrail Operations Directorate will bring the railway into operation invoking appropriate function support plans, processes and procedures. Mandated in corporate, support and programme specialist management plans and augmenting them with appropriate Operations Directorate specific processes and procedures.

The Function Directorate Management Plans which support volumes 1-4, are held in the Crossrail Management System (CMS); an online system described in section 6 of this document.

2 Scope

The scope of this document, as Volume 1 of the Management Plan, is to document the governance arrangements and reference the Function Directorate Management Plans.

3 Procedure

3.1 Governance

The governance structure of Crossrail Ltd, illustrated in Figure 1 below, is described in section 6 of the Delivery Strategy [Ref 30].

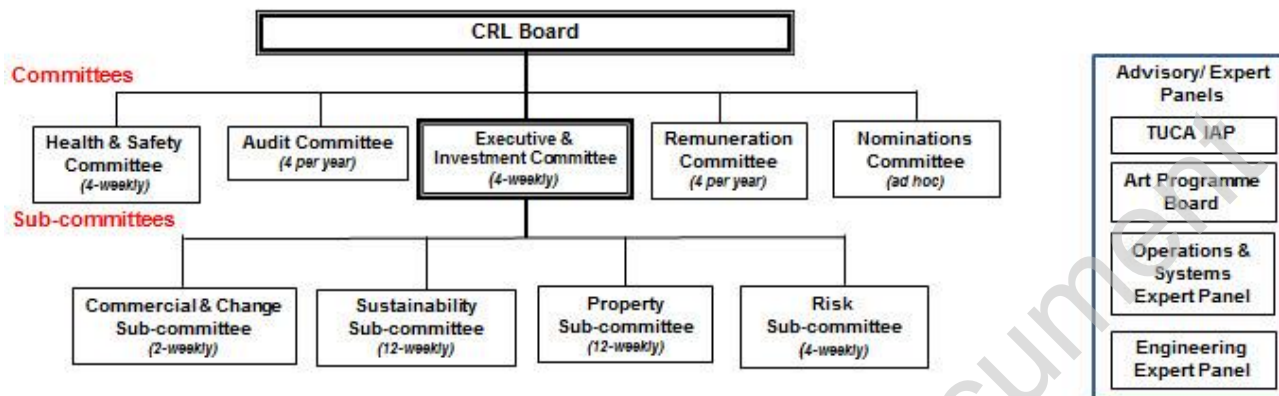


Figure 1 CRL Governance Structure

3.1.1 Crossrail Board and Sub-Committees

Crossrail Ltd’s Board Regulations and the terms of reference for its Committees and Sub-Committees are listed below:

The Board

Crossrail Ltd Board Regulations [Ref 18] CR-XRL-Z6-GST-CR001-00012

Committees (Terms of Reference)

Health and Safety Committee [Ref 19] CR-XRL-Z6-STP-CR001-50002

Audit Committee [Ref 20] CR-XRL-Z6-GST-CR001-00009

Executive & Investment Committee [Ref 21] CR-XRL-Z6-GST-CR001-00002

Remuneration Committee [Ref 22] CR-XRL-Z6-GST-CR001-00005

Nomination Committee [Ref 23] CR-XRL-Z6-STP-CR001-50003

Sub-committees (Terms of Reference)

Commercial & Change Sub-committee [Ref 24] CR-XRL-Z6-STP-CR001-50026

Sustainability Sub-committee [Ref 25]. CR-XRL-Z6-STP-CR001-50008

Property Sub-committee [Ref 26]. CR-XRL-Z6-GST-CR001-00004

Risk Sub-committee [Ref 27]. CR-XRL-Z6-GST-CR001-00006

Crossrail has established subsidiary groups and panels (with terms of reference approved by the parent Committee or Sub-committee) at a level below this formal structure. These groups and panels are advisory and have no delegated authority to commit Crossrail to expenditure.

There is also an external board that contributes to the overall governance of the delivery of the Crossrail programme of works, known as the Sponsor Board.

The **Committee** and **Sub-committee** terms of reference listed above can be found in the Corporate Governance area of the CMS in the 'Guidance Notes' section. Terms of reference for other groups and panels are in eB but not in the CMS and shall be controlled by the respective chair.

3.1.2 Sponsor Board

Crossrail has two Sponsors – the Department for Transport (DfT) and Transport for London (TfL). The project is accountable to both Sponsor organisations in terms of its performance for delivering the Crossrail programme. Both Sponsors are represented on the Sponsor Board.

The three Executive Directors of Crossrail (the CEO, Programme Director and Finance Director) are invited to attend the Sponsor Board meetings, which are held approximately once per period.

The Sponsor Board is supported by the Joint Sponsor Team (JST) which is comprised of representatives from both the DfT and TfL. Day-to-day communication between Crossrail and the Sponsors will usually be with the JST through the CRL Chief of Staff in accordance with the Sponsor Interface Management Plan [Ref 5].

The Sponsors have also appointed a Project Representative (P-Rep) to provide them with advice and information on the progress of the project. The JST and P-Rep work closely together to support the Sponsors.

All communication with the Project Representative is to be in accordance with the Project Representative Protocol Procedure [Ref 31].

3.2 Management Responsibility

3.2.1 Management Commitment

The Chief Executive approves the Crossrail Corporate Policies. These are documented in the List of Corporate Policies [Ref 34].

3.2.2 Executive and Investment Committee (ExCom)

ExCom is actively involved in the approval and maintenance of the corporate policies within the Crossrail Management System (CMS). ExCom ensures that:

- Stakeholder requirements are determined and met with the aim of maintaining or improving the level of assurance
- Objectives are established at appropriate levels within the organisation
- Resources are available for maintaining and operating the CMS
- The integrity of the CMS is maintained when changes to the organisation are planned and implemented.

3.2.3 Heads of Functions (including Directors)

Directors and Heads of Department are accountable for:

- Leadership of their function(s), establishing and developing their teams and monitoring performance against objectives
- Providing visible leadership and demonstrating commitment to the Crossrail vision and values, and corporate policies
- Ensuring the establishment, maintenance and improvement of effective procedures within their areas of responsibility
- Ensuring that staff are conversant with those aspects of the CMS that relate to their duties
- Ensuring staff are aware of the relevance and importance of their activities and how they contribute to the achievement of Crossrail's objectives
- Ensuring that adequate resources are made available for implementing the corporate policies, processes and procedures held in CMS
- Establishing effective communication of CMS issues and of the importance of meeting all requirements
- Supporting audit activities and providing prompt and effective correction action when non-conformities have been identified, thus providing visible leadership and demonstrable commitment to quality.

Roles and responsibilities are defined in job descriptions, which are maintained by Talent and Resources for all members of Crossrail Ltd.

3.3 Organisation

The Crossrail organisation is described in section 6.0 of the Delivery Strategy.

Talent and Resources have a responsibility to source the organisation with competent staff and have a role in managing changes in the organisation (see Talent & Resources Management Plan [Ref 6]).

4 Vision, Values and Policies

4.1 The Crossrail Vision

Crossrail’s vision is “**Moving London Forward**”.

4.2 The Crossrail Mission

Crossrail’s mission is “**To deliver a world class railway that fast tracks the progress of London**”.

4.3 The Crossrail Values

Crossrail’s core values and ways of working are described in Section 2.0 of the Delivery Strategy.

4.4 Corporate Policies

The Corporate policies reinforce Crossrail’s vision and values and reflect its obligations to the Sponsors. These are in the List of Corporate Policies [Ref 34] and maintained in accordance with the procedure of Maintaining Policies [Ref 35].

5 Management Plans for Corporate, Support & Specialist Function Directorates

The Central Section Delivery, Surface and Operations Directorates are supported by Corporate Functions and Programme - Specialist and Support Function Directorates. The accountabilities, roles, processes and procedures of these functions are mandated in the following Directorate Management Plans:

Directorate Management Plans

| Title | Document Number |
|---|-------------------------------|
| Sponsor Interface Management Plan [Ref 5] | CR-XRL-Z6-STP-CR001-50025 |
| Talent & Resources Management Plan [Ref 6] | CRL1-XRL-Z2-GPD-CR001_Z-50001 |
| Transition & Strategy Management Plan [Ref 7] | CR-XRL-V-STP-CR001-50001 |
| External Affairs Management Plan [Ref 8] | CR-XRL-Z1-STP-CR001-50007 |
| Commercial Management Plan [Ref 9] | TBC |
| Finance Management Plan [Ref 10] | CR-XRL-V2-GMN-CR001-00001 |
| Health & Safety Management Plan [Ref 11] | CR-XRL-Z7-STP-CR001-50004 |
| Information Technology Management Plan [Ref 12] | CR-XRL-Z5-STP-CR001-50003 |
| Land & Property Management Plan [Ref 13] | CRL1-XRL-T2-STP-CR001-50004 |
| Programme Controls Management Plan [Ref 14] | CR-XRL-Z9-GST-CR001-00002 |
| Technical Management Plan [Ref 15] | CR-XRL-N2-GPL-CR001-00007 |
| Stakeholder Management and Communication [Ref 16] | CR-XRL-Z1-GST-CR001-00001 |
| Strategic Projects Management Plan [Ref 17] | TBC |

6 Assurance and the Crossrail Management System (CMS)

6.1 Programme Assurance

- 6.1.1 Crossrail Ltd is required under the Project Development Agreement (PDA) as Client, to ensure that the Programme is delivered in accordance with the Sponsors Requirements. This is achieved through the process of *Assured Delivery* as laid out in the Programme Assurance Strategy [Ref 36].
- 6.1.2 The Crossrail Programme Assurance Strategy [Ref 36] describes Crossrail's approach to assurance that applies to all assurance requirements wherever these arise within the Project.
- 6.1.3 Crossrail has established checks and balances to ensure that the project:
- is delivered to cost, programme and quality
 - meets the Sponsors requirements
 - has assurance evidence in place to satisfy the regulatory bodies that will allow the railway to open.
- 6.1.4 The role of the Technical Client is undertaken by the Technical Director. The Technical Client is responsible for ensuring that the project is delivered in accordance with the following Employer's Requirements:
- Crossrail Act 2008
 - Environmental Minimum Requirements
 - Undertakings and Assurances & other Commitments
 - Sponsors Requirements (which take precedence over the following requirements)
 - Crossrail Programme Functional Requirements
 - Operational & Technical Requirements
 - New Works Standards Baseline
 - Design Demarcation Boundaries.

This will involve review, acceptance, surveillance and monitoring of design, construction and testing activities to ensure that the Technical Director can provide an informed view of the project compliance status.

6.2 Crossrail Management System (CMS)

- 6.2.1 The CMS mandates the management system documents that provide progressive assurance evidence. Documents within the CMS detail the assurance requirements to be met by the Project.
- Management System Documents
 - Crossrail’s strategies, policies, plans, processes, procedures, guidance notes, forms and templates
 - Communicate
 - Internally both for induction training and as a point of reference, and
 - to Sponsors, Stakeholders and 3rd parties’ representatives, how the integrated Crossrail team do things
 - Provides assurance that the programme is being managed effectively and efficiently.
- 6.2.2 The CMS holds Crossrail’s Management System Documents as noted above and is an online system. The **Home Page** can be found through the **CMS Tab** which is located on Connect Online.
- 6.2.3 Inputs such as the Project Development Agreement and Sponsors Requirements are referenced within the CMS.
- 6.2.4 Outputs for example designs, contract documentation, as built records etc... are held within eB, the CRL Electronic Document Management System.
- 6.2.5 Documents in the CMS have one of the following characteristics:
- they mandate the way Crossrail performs those activities that to be effective and efficient need to be performed in a consistent manner
 - where the format of outputs needs to be consistent, it mandates and provides the link to the IT system or the form or template that is to be used to generate the output
 - they mandate the way Crossrail performs those activities for which it needs to be able to give confidence to Sponsors and stakeholders or their representatives regarding our approach.
- 6.2.6 The CMS is certified to BS EN ISO 9001:2008 Quality Management Systems, BS EN ISO 14001:2004 Environment Management system and BS OHSAS 18001:2007 Occupational Health and Safety Management System. The scope of the certification covers all CRL’s current and anticipated activities.
- 6.2.7 The CMS is maintained in accordance with the Crossrail Management system (CMS) Manual [Ref 37].
- 6.2.8 The process for preparing, approving, publishing and implementing documents in the CMS is detailed in the Crossrail Management System (CMS) Procedure [Ref 38]. The Crossrail Management System (CMS) Step by Step Guide [Ref 39] takes you through the steps of a CMS Review and Approval Work Order Process.
- 6.2.9 For CMS Documents the appropriate template shall be used [Ref A] [ref B].

For queries regarding the CMS please contact the [Management System Manager](#).

7 Reference Documents

Crossrail Management Plans

| Ref: | Document Title | Document Number: |
|------|---|---------------------------|
| 1 | Management Plan Volume 1 - Corporate, Support and Specialist Function Directorates (This document) | CR-XRL-O4-GPG-CR001-00001 |
| 2 | Management Plan Volume 2 Central Section Delivery | CR-XRL-O4-GPG-CR001-00004 |
| 3 | Management Plan Volume 3 - Surface Delivery | CR-XRL-O4-GPG-CR001-00005 |
| 4 | Management Plan Volume 4: Operations | CR-XRL-K2-STP-CR001-50001 |

Directorate Management Plans

| | | |
|----|--|-------------------------------|
| 5 | Sponsor Interface Management Plan | CR-XRL-Z6-STP-CR001-50025 |
| 6 | Talent & Resources Management Plan | CRL1-XRL-Z2-GPD-CR001_Z-50001 |
| 7 | Transition & Strategy Management Plan | CR-XRL-V-STP-CR001-50001 |
| 8 | External Affairs Management Plan | CR-XRL-Z1-STP-CR001-50007 |
| 9 | Commercial Management Plan | TBC |
| 10 | Finance Management Plan | CR-XRL-V2-GMN-CR001-00001 |
| 11 | Health & Safety Management Plan | CR-XRL-Z7-STP-CR001-50004 |
| 12 | Information Technology Management Plan | CR-XRL-Z5-STP-CR001-50003 |
| 13 | Land & Property Management Plan | CRL1-XRL-T2-STP-CR001-50004 |
| 14 | Programme Controls Management Plan | CR-XRL-Z9-GST-CR001-00002 |
| 15 | Technical Management Plan | CR-XRL-N2-GPL-CR001-00007 |
| 16 | Stakeholder Management and Communication | CR-XRL-Z1-GST-CR001-00001 |
| 17 | Strategic Projects Management Plan | TBC |

Board Regulations and Committee / Sub-committee Terms of Reference

| | | |
|----|-----------------------------------|---------------------------|
| 18 | Crossrail Ltd Board Regulations | CR-XRL-Z6-GST-CR001-00012 |
| 19 | Health and Safety Committee | CR-XRL-Z6-STP-CR001-50002 |
| 20 | Audit Committee | CR-XRL-Z6-GST-CR001-00009 |
| 21 | Executive & Investment Committee | CR-XRL-Z6-GST-CR001-00002 |
| 22 | Remuneration Committee | CR-XRL-Z6-GST-CR001-00005 |
| 23 | Nomination Committee | CR-XRL-Z6-STP-CR001-50003 |
| 24 | Commercial & Change Sub-committee | CR-XRL-Z6-STP-CR001-50026 |
| 25 | Sustainability Sub-committee | CR-XRL-Z6-STP-CR001-50008 |
| 26 | Property Sub-committee | CR-XRL-Z6-GST-CR001-00004 |
| 27 | Risk Sub-committee | CR-XRL-Z6-GST-CR001-00006 |

Other Key Reference Documents

| Ref: | Document Title | Document Number: |
|-------------|--|-----------------------------|
| 28 | Construction Management Plan | CRL1-XRL-N2-STP-CR001-50002 |
| 29 | Construction Quality Plan | CRL1-XRL-N2-STP-CRG03-50004 |
| 30 | Delivery Strategy | CR-XRL-Z-GST-CR001-00001 |
| 31 | Project Representative Protocol Procedure | CR-XRL-Z6-GPD-CR001-50003 |
| 32 | Health and Safety Manual | CR-XRL-Z7-GMN-CR001-00001 |
| 33 | Environment Manual | CR-XRL-T1-GMN-CR001-00001 |
| 34 | List of Corporate Policies | CR-XRL-Z6-LST-CR001_Z-50001 |
| 35 | Maintaining Policies Procedure | CR-XRL-O-GPD-CR001_Z-50001 |
| 36 | Programme Assurance Strategy | CR-XRL-O4-GPL-CR001-00001 |
| 37 | Crossrail Management system (CMS) Manual | CR-XRL-O4-GML-CR001-50001 |
| 38 | Crossrail Management System (CMS) Procedure | CR-XRL-O4-GPR-CR001-00003 |
| 39 | Crossrail Management System (CMS) Step by Step Guide | CR-XRL-O4-GUI-CR001-50001 |

8 Standard Forms / Templates

| Ref: | Document Title | Document Number: |
|-------------|---|---------------------------|
| A | CMS Document Template | CR-XRL-O4-ZTM-CR001-00001 |
| B | CMS Document Template – No Document History | CR-XRL-O4-ZTM-CR001-50005 |

9 Appendices

None