

Office of Rail and Road

Review of the adequacy of the System
Operator governance arrangements in
Scotland for long term network planning



30 April 2020



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Executive summary

Background

As part of its “Putting Passengers First” programme (PPF) Network Rail transferred to the Scottish region certain activities previously carried out by the System Operator (SO) to create a whole-rail system project client and sponsor capability based in Scotland.

The change took place from 24 June 2019 and is intended to better align with the requirements of Scottish Ministers High Level Output Specification for Control Period 6 and create consistent engagement with the primary funder through a single integrated team.

The two functions devolved to Scotland region (which are not devolved to England and Wales regions) are:

1. Determining the capability requirements for the rail system in the longer term based on funder objectives and desired outcomes.
2. Bringing together the long term strategy for the development of the network and the medium term investment priorities and understanding the impacts of the investment on demand and the economics of the railway as part of a Strategic Business Case/Strategic Outline Business Case.

Notwithstanding the transfer of these functions to the Scotland region, the SO retains accountability for compliance of long term network planning with Network Rail’s network licence conditions. Network Rail recognised the changes it has made in devolving these additional two SO functions to Scotland region required additional governance to be put in place. This included the creation of a new Network Integration Board for Scotland (NIB) chaired by the SO to provide governance for those functions exercised by the Scotland region.

As part of its consideration of PPF in July 2019 the Office of Rail and Road (ORR) wrote to Network Rail to re-iterate the importance of adhering to the network licence conditions and confirmed that it intended to use its existing monitoring processes to ensure Network Rail remains compliant, including the use of Independent Reporters as part of its assurance process¹.

¹ https://orr.gov.uk/_data/assets/pdf_file/0017/41390/putting-passengers-first-follow-up-letter-2019-07-08.pdf



In the light of the above, in March 2020 Nichols were appointed to undertake an independent reporter review of the adequacy of the governance arrangements put in place between the Scotland region and the SO. The mandate for this review is included in Appendix 1 of this report.

Acknowledgment

Nichols would like to thank Network Rail and those other organisations interviewed for making the time available to contribute to this review. This is especially the case given the many higher priority commitments they have had to deal with during the Coronavirus crisis.

Methodology

The review comprised an assessment of documentation and initial interviews with representatives of Network Rail's Scotland region and the SO, Transport Scotland and also with key stakeholders. A number of follow up interviews were then held on specific lines of enquiry in order to triangulate and test key issues and emerging thinking.

We undertook the assessment against a set of good practice measures for an effective overall devolved operating environment - i.e. what measures did we expect to be in place to enable the effective devolution to the region of responsibility for long term network planning whilst enabling the SO to retain accountability for compliance with the licence conditions.

The measures covered seven themes:

1. Adequacy of governance arrangements (of which the NIB is part of).
2. Effectiveness of day to day dialogue between the SO and the Scotland region Strategy & Planning team on long term network wide issues.
3. Effectiveness of processes, systems and training that have been put in place by the SO and Scotland region since the transfer of the Strategy & Planning team to Scotland region in June 2019.
4. Availability of resources to ensure effectiveness of the arrangements, for Scotland region and the SO.
5. Engagement with the principle funder (Transport Scotland) and stakeholders.
6. Effectiveness of interface between the Scotland region and the SO Strategic Network Planning profession.



7. Extent of regular review of the effectiveness of the arrangements and flexibility for further adaptation as part of potential further devolution.

Based on evidence gathered from our review of the documentation and conducting interviews we assessed against the seven themes, highlighting areas that are working well including good practice, and areas for improvement. We then determined our overall conclusions on the effectiveness of the measures currently put in place to enable the SO to demonstrate primary accountability for establishing and maintaining long-term plans for the whole network. Our conclusions are supported by a number of recommendations (actions we consider should be implemented now) and advisory measures (actions that can build on current measures already in place) that have allocated action owners.

Summary conclusions

With reference to the joint ORR/Network Rail mandate for the independent reporter, we make the following conclusions:

- There is a clear understanding of the accountabilities and responsibilities for long term planning and business case development between the SO and the Scotland region following the transfer in June 2019 (**key requirement 3 of mandate**).
- There is also clarity on the responsibilities of how the development and integration of strategies across the network is carried out, both with respect to Scotland and ensuring the integrity of an overall strategic programme (**key requirement 4 of mandate**).
- Stakeholders have the ability to input into the Long Term Planning Process (LTPP), Scottish Transport Appraisal Guide (STAG) and Governance for Railway Investment Projects (GRIP) process formally through the Scotland Investment Review Group (SIRG) and also through a wide range of working level meetings. Further emphasis is required, however, on the regular consideration of cross border issues for both passenger and freight, for example on the East Coast Main Line (**key requirement 5 of mandate**).
- The revised arrangements have enabled Transport Scotland to have a more consistent engagement on Scotland long term planning issues through a single integrated team therefore better aligning with Scottish Ministers' High Level Output Specification for Control Period 6.



Notwithstanding the above and evidence of good practice since the transfer, further measures are needed (see our recommendations later in this report) in order for the SO to demonstrate it remains fully accountable for establishing and maintaining long-term plans for the whole network (**key requirements 1 and 2 of mandate**).

These measures, which take account of a devolved operating environment, include:

- A consideration by the SO of the suite of governance arrangements and management information needed wider than just the NIB, which also considers the need to consult and inform the SO were there to be impacts on long term network wide issues and strategies arising from changes during the development lifecycle.
- Greater engagement between the Scotland region and Managing Director (MD) SO (or their representative) outside the formal governance forums.
- Further steps to roll out and update systems, processes and training, including building on the proactive engagement to date with the Strategy & Network Planning profession within the SO.
- A review of what SO resources are needed to undertake the role effectively.
- A process for regular review and challenge based on clear success criteria by the SO of the effectiveness of the arrangements, including seeking feedback from stakeholders and retaining flexibility for possible further devolution post 'the Williams Review'.

More detail, specific recommendations and advisory measures that support the above are summarised in the findings section of this report against the seven assessment themes.

We advise that progress in implementing these recommendations should also be regularly communicated to Transport Scotland and stakeholders in order to demonstrate the additional measures Network Rail has taken.



Background

Introduction

As part of its PPF programme Network Rail transferred to the Scottish region certain functions previously carried out by the SO to create a whole-rail system project client and sponsor capability based in Scotland.

The change took place from 24 June 2019 and is intended to better align with the requirements of Scottish Ministers High Level Output Specification for Control Period 6 and create consistent engagement with the primary funder through a single integrated team.

The two functions devolved to Scotland region (and which are not currently devolved to England and Wales regions, albeit it is understood there may be a future desire for this to take place as part of further stages of PPF) are:

1. Determining the capability requirements for the rail system in the longer term based on funder objectives and desired outcomes.
2. Bringing together the long term strategy for the development of the network and the medium term investment priorities and understanding the impacts of the investment on demand and the economics of the railway as part of a Strategic Business Case/Strategic Outline Business Case.

Network Rail's licence condition obligations

The SO retains accountability for long term network planning in accordance with Network Rail's network licence. The relevant extracts of the licence are the following:

- Promote the coordinated and integrated operation and development of the network – para 2.6 (a).
- Take primary responsibility for establishing and maintaining Long Term Plans to promote the Long Term Planning Objective – para 2.6 (b) (i).
- Establish, maintain and comply with governance arrangements which enable the SO to perform the SO functions impartially, effectively and efficiently (and which facilitate such performance) – para 2.7.



Network Rail recognised the changes it has made in devolving the two additional SO activities to Scotland region required additional governance to be put in place. This included the creation of a new NIB for Scotland chaired by the SO to provide governance for those functions exercised by the Scotland region for which the SO is accountable.

ORR's consideration of Network Rail's proposals

As part of its consideration of PPF in July 2019 ORR wrote to Network Rail to re-iterate the importance of adhering to the licence obligations and confirmed that it intended to use its existing monitoring processes to ensure Network Rail remains compliant, including the use of Independent Reporters as part of its assurance process.

Independent Reporter mandate

In March 2020 Nichols were appointed to undertake a review of the adequacy of the governance arrangements put in place between the Scotland region and the SO. The key requirements of the review are the following:

1. The measures Network Rail has put in place, in the light of the increased devolution to the Scotland region, to ensure the SO meets its obligations (including the role and function of the NIB for Scotland).
2. Whether those measures are effective in enabling the SO to retain to primary responsibility for establishing and maintaining long-term plans for the whole network.
3. The accountabilities and responsibilities for Long Term Planning and Business Case Development and whether there is a common understanding between the SO and the Scotland region regarding the processes and practice.
4. How the development and integration of strategies across the network is carried out, both with respect to Scotland and ensuring the integrity of an overall strategic programme.
5. The ability of stakeholders to input into the LTPP, STAG and GRIP processes.

The mandate for this review is included in Appendix 1 of this report.



Acknowledgement

Nichols would like to thank Network Rail and those other organisations interviewed for making the time available to contribute to this review. This is especially the case given the many higher priority commitments they have had to deal with arising from the Coronavirus crisis.



Methodology

Process

The review comprised an assessment of documentation and initial interviews with representatives of Network Rail's Scotland region and the SO, Transport Scotland and also with key stakeholders. A number of follow up interviews were then held on specific lines of enquiry in order to triangulate and test key issues and emerging thinking.

We undertook the assessment against a set of good practice measures for an effective overall devolved operating environment i.e. what measures did we expect to be in place to enable the effective devolution to the region of responsibility for long term network planning whilst enabling the SO to retain accountability for compliance with the licence conditions.

Based on evidence gathered from our review of the documentation and conducting interviews we assessed against the seven themes, highlighting areas that are working well including good practice, and areas for improvement.

We then determined our overall conclusions on the effectiveness of the measures currently put in place to enable the SO to demonstrate primary accountability for establishing and maintaining long-term plans for the whole network. Our conclusions are supported by a number of recommendations (actions we consider should be implemented now) and advisory measures (actions that can build on current measures already in place) that have allocated action owners.

Assessment themes

We structured the expected good practice measures under seven assessment themes:

1. Adequacy of governance arrangements (of which the NIB is part of).
2. Effectiveness of day to day dialogue between the SO and the Scotland region Strategy & Planning team on long term network wide issues.



3. Effectiveness of processes, systems and training that have been put in place by the SO and Scotland region since the transfer of the Strategy & Planning team to Scotland region in June 2019.
4. Availability of resources to ensure effectiveness of the arrangements, for Scotland region and the SO.
5. Engagement of the principle funder (Transport Scotland) and stakeholders.
6. Effectiveness of interface between the Scotland region and the SO Strategic Network Planning profession.
7. Extent of regular review of the effectiveness of the arrangements and flexibility for further adaptation.

SO long term network planning role in a devolved environment

Underpinning the assessment themes is an understanding of the landscape the SO needs to operate within to discharge its accountability for long term network planning. This comprises the following:

- The need for consideration of intra-regional, inter-region and GB wide network issues.
- A necessity to be consulted and informed by the Scotland region were there to be impacts on long term network wide issues and strategies arising from changes during the development lifecycle.

These features are illustrated graphically in Figures 1 and 2 below, and highlight the breadth of the accountabilities that remain with the SO in a devolved environment (which are not just relevant to Scotland region). Our assessment of the seven themes for Scotland region have taken account of these two important features of the SO landscape.

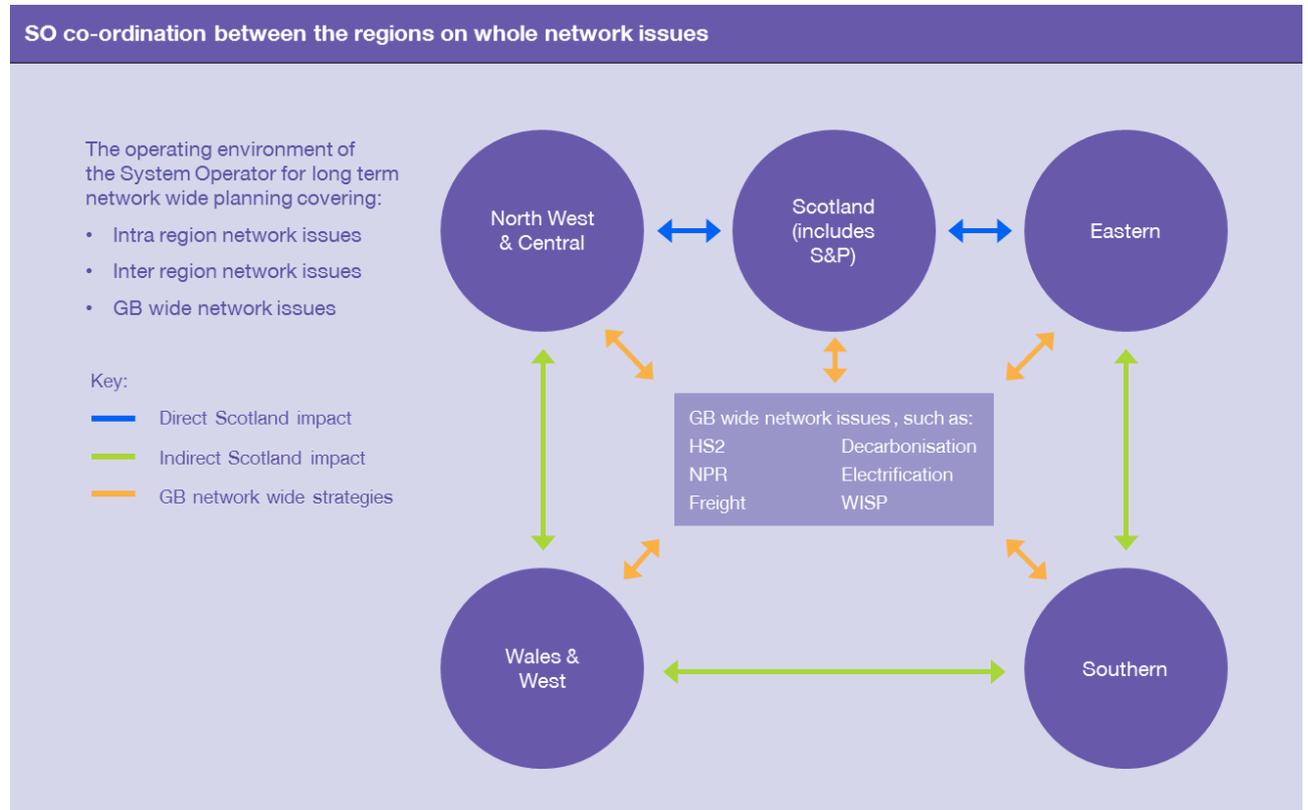


Figure 1: The wider GB SO operating environment and interface with Scotland region

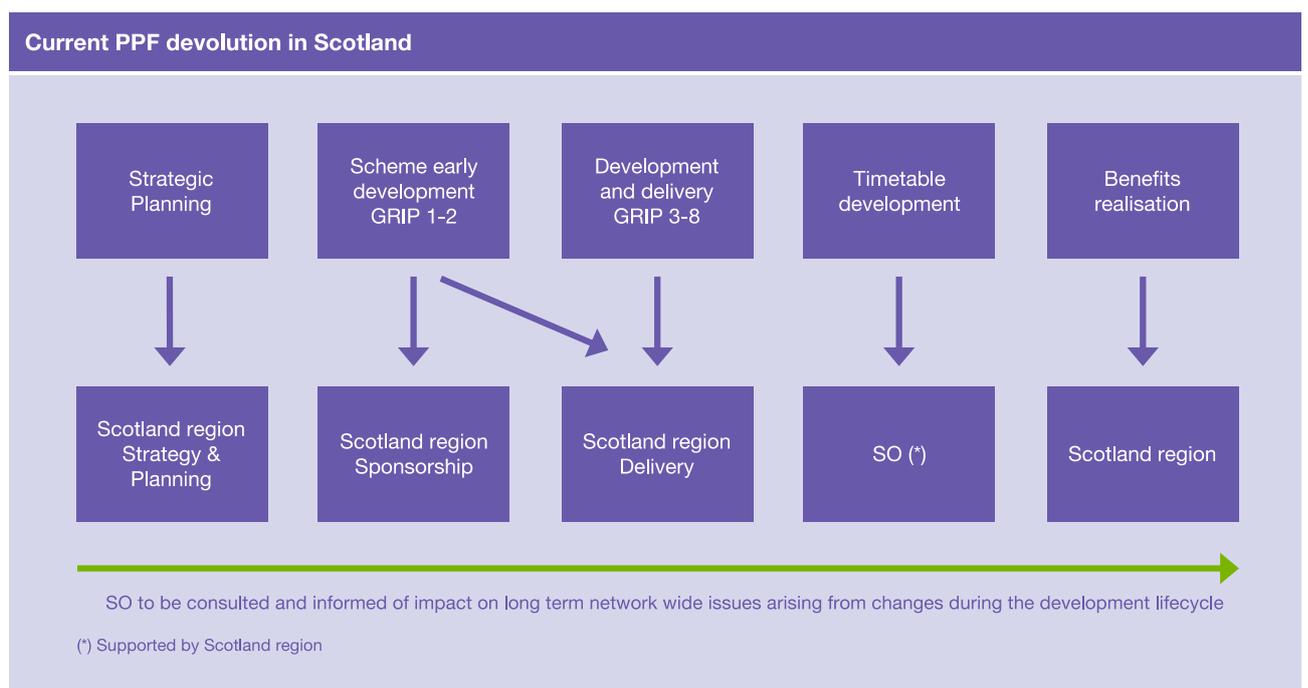


Figure 2: Current PPF devolution in Scotland



Findings

Introduction

Our findings against each of the seven themes are described in the sections below. For each theme we provide a summary of context together with an assessment of areas that are working well (including drawing out examples of best practice) as well as areas where further improvements could be made. These are then supported by specific recommendations and advisory measures with each having a suggested action owner.

Theme 1 – Adequacy of governance arrangements

Context

The key governance change made in June 2019 to support the SO retaining accountability for long term network planning matters was the creation of a quarterly meeting referred to as the NIB. This is a Network Rail internal meeting chaired by the MD SO with senior attendance from Scotland region and an agreed terms of reference. To date there have been three meetings of the NIB (9 October 2019, 15 January 2020 and 8 April 2020) and during this time there has also been a change in the chair of the meeting, which took place at the January meeting. It is recognised by all attendees that the meeting has yet to fully establish itself and that its role may need to be further developed.

In addition to the NIB, there are other established governance forums, that cover long term network wide issues, which have a Scotland interface (with attendance by either Scotland region and/or Transport Scotland).

- The Scotland region Head of Strategic Planning (HoSP) chairs a quarterly SIRG meeting with key railway stakeholders and Transport Scotland to provide these organisations with a whole industry consideration of long term strategies for Scotland and their network wide impact. This is a templated stakeholder engagement meeting used by other HoSPs in the SO in England and Wales (referred to as the Route Investment Review Group).



- There is a monthly ‘Strategic Questions’ meeting between Scotland Region and Transport Scotland regarding long term planning matters attended by the HoSP.
- Separate to the above, investment decisions arising from the long term strategies are discussed at the Network Rail Scotland route Investment Panel which in turn require approval from Transport Scotland’s Pipeline Programme Board in accordance with their Rail Enhancement & Capital Investment Strategy.
- The SO operates a System Long Term Planning Governance Board which brings together and oversees the overall programme of long term planning activities (based on the SO’s Continuous Modular Strategic Planning (CMSP) approach) on a GB system-wide basis. As well as Network Rail this meeting is attended by government representatives (including Transport Scotland), sub national transport bodies, TOC’s and the Rail Delivery Group (RDG).
- RDG operate a Planning & Oversight Group (chaired by the MD SO). Its purpose is to provide oversight and challenge on long term planning work undertaken by the SO and input to governments in the form of Initial Industry Advice submissions. As well as Network Rail this forum is attended by Transport Scotland, DfT, sub national transport bodies and a wide range of other organisations across the rail industry.
- The SO is governed by an Advisory Board which provides strategic oversight of the activities of the SO. This meeting includes representation from Transport Scotland and the Department for Transport (DfT), as well as across the rail industry. Part of its brief is to provide an external and independent view of the strategic direction of the SO, including compliance with its license condition obligations.

Areas working well

NIB

From documents supplied and through those we interviewed we make the following observations:

- The terms of reference for the NIB have a clear remit which link directly to the SO’s licence condition obligations for accountability for long term planning of the network.
- The NIB is supported by a management information pack that provides a good summary of current progress of the key long term strategies under development by the Scotland region.
- There is consistent senior attendance from Scotland region. This includes, amongst others, attendance by Senior Legal Counsel (Routes) and the Director of Finance (Scotland region) who provide a supporting role to the chair to ensure adherence to the terms of reference.



- There is an openness from all attendees of the NIB to consider potential improvements of the conduct of the meeting, including options for greater transparency of decision making to stakeholders.

SIRG

- The SIRG forms the primary formal forum for stakeholder engagement on long term planning matters and provides the opportunity for stakeholders to feed key issues into the NIB if necessary.
- There is good (and consistent) engagement from a wide range of rail industry stakeholders who value the opportunity to contribute to the long term planning process.
- As well as discussing the status of strategies the meeting provides a forum for discussing the early GRIP stages of individual scheme developments, during which the responsibility for schemes are handed over from the HoSP to the Scotland region sponsorship team through formal client requirements documentation.
- This meeting is supported by a wide range of informal stakeholder forums that consider individual strategies, for example the work to support the Edinburgh Waverley Masterplan and the Scotland Depots and Stabling Strategy.

Transport Scotland ‘Strategic Questions’ meeting

There is evidence of good alignment with Transport Scotland on the development of long term strategies for Scotland which meets their needs as principle funder. The Transport Scotland and Scotland region ‘Strategic Questions’ meeting is the primary formal forum for discussion on network strategies and is working well.

Areas for improvement

NIB

Whilst it is acknowledged that there have only been three meetings to date of the NIB we note the following:

- The NIB would benefit from a more structured set of management information that better highlights the status of strategies and raises issues and concerns for the SO to consider in advance of the meeting (based on a rolling programme of relevant strategies being developed). This includes in particular potential significant cross border issues that could impact on a network wide basis. It should be noted that the management information for the NIB meeting held on 8 April 2020 has already taken some steps to address the status of such strategies.



- Similarly the SO should be utilising the NIB to highlight to the Scotland region network wide issues that have the potential to affect Scotland. These should also be included in the management information as part of a two way information flow. Examples include High Speed Rail issues that may affect capacity in Scotland, electrification policies, decarbonisation policies and freight growth forecasts for key strategic corridors (including cross-border).
- It is not clear from the NIB terms of reference what the formal escalation route is for the SO should network wide issues not able to be resolved at the NIB. From those interviewed we established that the escalation route should be based on standard Network Rail escalation procedures which, if necessary, would be raised to the Chief Executive for a decision. We consider the NIB terms of reference should be amended to clearly record the established escalation process.
- The NIB has a quarterly frequency. From those interviewed it appears that there is an overreliance on this meeting as the primary measure to ensure the licence conditions accountability for the SO for long term network planning matters are being met. As explained in Theme 2 below, there needs to be a more formal dialogue between the SO and the Scotland region on such matters in between the NIB meetings that builds on the current working level discussions on specific matters. The NIB should instead be used to discuss the key issues that have been raised from the more regular discussions between the Scotland region and the SO.

Mapping the interrelationship of the full range of governance forums that have an impact on Scotland long term planning

As explained above there are a number of other forums that consider long term planning matters in Scotland, which are operated within the Scotland region, within the SO and also by the wider rail industry. There would be benefit from these forums being mapped to show the relationships to one another, including to the NIB. The current NIB terms of reference should then be reviewed in light of this mapping analysis and adjustments made to address possible overlaps and/or inconsistencies with these other meetings.

Other forums for formal engagement between the SO and the Scotland region on network wide matters outside the NIB

We consider the SO should have sufficient representation on and/or greater visibility of a number of other governance forums in the Scotland region. The SIRG terms of reference state that the SO should be a core member but there has been no representation from the SO since the summer of 2019 (albeit there has been some input from the SO Capacity Planning team on timetabling matters). Given the stakeholder focus of SIRG, attendance by the SO would be an effective means of demonstrating to the industry the visibility of the SO on network wide issues and provide a forum for direct engagement between them.



The SO retains accountability for network wide matters throughout the development life cycle from the commencement of long term strategies, through to individual scheme development and implementation, timetable planning and ultimate benefits realisation. We advise, therefore, that there would be merit in a process being established in the Scotland region that ensures the views of the SO on network wide matters are taken into account of in formal investment decisions throughout the GRIP development process. It is acknowledged that this is a potentially network wide devolution issue and as such not unique to the devolution of the long term planning role to the Scotland region.

Recommendations and advisory measures

	Recommendations	Owner
R1	The NIB would benefit from a more structured set of management information that better highlights network wide issues and concerns for the SO to consider.	SO/SR
R2	The SO should be utilising the NIB to highlight network wide issues that have the potential to affect Scotland as part of a two way information flow.	SO
R3	The NIB terms of reference should clarify the escalation route within NR for network wide issues not able to be resolved at the NIB.	SO
R4	The SO should have representation on SIRG and a process should be established in the Scotland region that ensures the views of the SO on network wide matters are taken into account of in formal investment decisions throughout the GRIP development process.	SO

Table 1: Theme 1 Recommendations

	Advisory measures	Owner
A1	There would be benefit from mapping the full range of long term planning governance forums in the Scotland region with those in the SO/wider rail industry which have a Scotland interface to show the relationships to one another, including to the NIB.	SO/SR

Table 2: Theme 2 Advisory measures



Theme 2 – Effectiveness of day to day dialogue between the SO and Scotland region on long term network wide issues

Context

In addition to the formal governance arrangements that are in place, an assessment was made of the effectiveness of the day to day dialogue on network wide issues between the SO and the Scotland region team. This included: dialogue on intra Scotland network matters; inter regional dialogue with particular Network Rail SO regional Strategy & Planning teams in England on specific cross border issues; and also dialogue on GB wide network matters.

Areas working well

Intra Scotland network issues

There is significant evidence of an effective long term network approach being discharged by the Scottish region Strategy & Planning team at a working level on a wide range of network wide matters in Scotland. Examples include:

- West Highland Line strategy
- Inverness Masterplan
- Edinburgh Waverley Masterplan
- Aberdeen to Central Belt
- Glasgow Central
- De-carbonisation Action Plan
- Seven Cities Connectivity, including consideration of preparing the case for electrification of the route via Perth

From our interviews it is clear that the Scotland region Strategy & Planning team have adopted a comprehensive network wide approach to the development of these strategies. Furthermore there are a wide range of effective working level forums for discussion, both with Transport Scotland, as well as key rail industry stakeholders.



Inter region network issues (cross border)

There is good evidence of regular dialogue with relevant SO HoSP region representatives in England on cross border passenger and freight issues. Particular examples on the East Coast Main Line (ECML) include the following:

- Scotland East to England Connectivity including proposals for new stations at Reston in Berwickshire and East Linton in East Lothian and associated timetabling issues.
- Power supply upgrade issues north of York.
- ECML freight strategy.
- Direct award for London North Eastern Railway (LNER) and associated train capacity issues.
- Open access train operator implications on train capacity.

There are a number of forums where the above issues are regularly discussed between the Scotland region HoSP and the SO Eastern region HoSP.

GB wide network issues

There is good evidence of a regular engagement between the Scotland region Strategy & Planning team and the central SO team on number of important GB wide issues. Examples include:

- Input to the development of a Whole Industry Strategic Plan (WISP), which is being developed by the SO as part of the PPF Programme.
- Consideration of High Speed Rail and Northern Powerhouse rail interfaces with Scotland.
- Input to the traction de-carbonisation network strategy.

From those interviewed there was an acknowledgment of a highly proactive approach by the Scotland region HoSP to inputting to the development of these strategic policies.

Areas for improvement

Notwithstanding the significant evidence of good practice referred to above, there would be merit in having a more structured approach to recording the status of network wide issues that the Scotland region have an interface and/or input to. This approach should assist the production of the management information that supports the formal governance forums described in Theme 1 of this report and help to draw out to the MD SO the critical issues and risks to focus on. This information would highlight any key intra-Scottish region



issues that the SO needs to be aware of from the wide range of working level discussions the Scotland region Strategy & Planning have, which the SO would not necessarily be routinely involved in on a day to day basis. We consider that this management information should, as far as possible, be made common to the full range of meetings held on long term network wide issues, including within Network Rail, with Transport Scotland (as principle funder) and also with key stakeholders. It will assist in mitigating any potential perceptions of bias. It can also be used to facilitate a more regular dialogue between the MD SO (or their nominee) and the Scotland region on long term network wide issues. Currently the only engagement that takes place is at the quarterly meeting of the NIB. A more frequent dialogue will reduce the current overreliance on the NIB as the primary forum for discharging the SO’s accountabilities for long term network planning. We are of the view that much greater dialogue in between the NIB meetings is needed for the arrangements to be fully effective. This could be undertaken either directly with the MD SO or an appointed nominee.

Recommendations and advisory measures

	Recommendations	Owner
R5	There needs to be much greater working level dialogue between the MD SO (or their nominee) and the Scotland region on long term network issues in between the formal NIB meetings.	SO/SR

Table 3: Theme 2 Recommendations

	Advisory measures	Owner
A2	The Scotland region should implement a more structured approach to routinely recording the status of network wide issues (including intra-Scotland region and those undertaken in dialogue with other SO HoSP’s for specific regions) for regular discussion with the MD SO.	SR
A3	To proactively mitigate potential perceptions of bias, management information should as far as practical be common to and shared with the full range of meetings held on long term network wide issues including within Network Rail, with Transport Scotland (as principle funder) and also with key stakeholders.	SR

Table 4: Theme 2 Advisory measures



Theme 3 – Effectiveness of processes, systems and training that have been put in place by the SO and Scotland region since the transfer of the Strategy & Planning team to Scotland region in June 2019

Background

We assessed the degree of effectiveness of the processes, systems and training that has been put in place (both at the time of the transfer in June 2019 and ongoing) for Scotland region staff covering: the background to the transfer; the on-going need to conduct the Strategy & Planning role in the interests of the wider network (which mitigates potential perception of bias); and the continuing role of the SO for ultimate accountability for long term network matters in accordance with Network Rail’s licence condition.

Areas working well

The transfer of the Strategy & Planning team from the SO to Scotland region as one complete entity in June 2019 has helped to ensure continuity of established SO processes and systems for long term network planning. This includes, for example, continued adherence to the CMSP process that includes the concept of ‘Strategic Questions’, which are being used for the development of particular long term strategies such as for Glasgow Central. Such continuity has been particularly helped through retention of key members of staff, including the Scotland HoSP.

As part of the transfer, key additional processes were put in place to mitigate possible perceptions of bias from having a closer relationship with both Transport Scotland and the ScotRail Alliance (noting that this Alliance does not have responsibility for long term network planning matters in Scotland). Such measures include the following:

- The provision of staff training in the summer of 2019 regarding the changes in roles and responsibilities and the specific licence conditions obligations that remain with the SO. This is summarised in a “Practical Measures to Note” document. This note reminded staff to take an evidenced based approach to defend potential future allegations of any bias in engagements with Alliance personnel and external stakeholders such as funders and operators.
- To complement this, a process was put in place for assessing the risk of instances of potential bias. This comprised a ‘triage’ approach for assessing risk on key railway corridors in Scotland, for example those solely operated by ScotRail and those that had multiple passenger and freight operators (including cross border). In addition, a process was established for assessing the potential risk of bias for the suite of regular meetings held by the Scotland Strategy & Planning team both within Network Rail and also with Transport Scotland and key railway stakeholders. The categories of meetings were determined based on varying levels of potential risk exposure. Mitigating actions were then proposed



which corresponded to the level of risk for each individual category, for example the need for good record keeping and communicating decisions on a regular basis (which is undertaken by the HoSP through the issue of a 'newsletter' to key stakeholders).

- There is also a process for Scotland region Strategy & Planning staff to raise concerns regarding potential bias with the HoSP. From our interviews it is evident that the process is operating effectively with evidence of matters being recorded, assessed and mitigating actions implemented. There is good senior management support given to this process, including the discussion on what are appropriate mitigation actions. The operation of this process has also been made visible to the SO through the NIB.

Areas for improvement

Building on the above, we consider that a rolling training programme should be in place for Scotland region's Strategy & Planning staff. We understand that this is being considered as part of implementing the wider PPF changes in Scotland region. The need for such a training programme is particularly relevant for new personnel joining the team since the transfer who may be less aware of some of the principles. However, we consider that it should be provided to all staff on a regular basis and that the existence of such a programme should be communicated to stakeholders. The provision of such training could be supported by the SO Strategic Network profession.

To complement the above there would be merit in producing a staff manual which describes the changes made in June 2019 and which highlights the following:

- The background to the transfer.
- The continuing accountability of the SO in regard to the licence conditions.
- Revised governance put in place, for example the NIB, SIRG and other related forums.
- The processes and systems put in place to mitigate potential perceptions of bias (including the method of highlighting concerns).
- The content and availability of specific training.
- Standard operating procedures and template documents available and the extent that the Scotland region has made modifications to these in the light of their specific devolved functions.

Such a manual could be provided to new staff as part of any formal induction process. There may be merit in the manual been formally issued to the Scotland region by the MD SO or their nominee.



Recommendations

	Recommendations	Owner
R6	As part of the planned programme for implementing PPF changes in Scotland region a regular training programme should be provided to staff within the Scotland region Strategy & Planning team regarding their responsibilities associated with the devolved functions.	SR
R7	As part of the planned programme for implementing PPF changes in Scotland a staff manual should be produced to describe the background to the arrangements that have been put in place for the Scotland Strategy & Planning team and how the SO's licence condition obligations for long term network wide planning are maintained.	SR/SO

Table 5: Theme 3 Recommendations

Theme 4 – Availability of resources – Scotland region and SO

Background

We also looked at the availability of resource required in order to effectively discharge the role, both within the Scotland region and also the SO.

Areas working well

The transfer of the Scotland Strategy & Planning team as one complete entity from the SO to the Scotland region has helped ensure continuity of resource. Interviews with Transport Scotland and stakeholders have confirmed that there has been no disruption to the services provided by the Scotland region Strategy & Planning team. There is also good senior level support and guidance regarding adherence to the new arrangements from within the Scotland region, including support when necessary from the Senior Legal Counsel (Routes) and Director of Finance (Scotland region). This support is provided both during the formal conduct of the NIB as well to the staff in the Strategy & Planning team.

Areas for improvement

We consider that the SO is too reliant on the NIB to fully discharge the accountability for long term planning network issues in Scotland; as evidenced by the SO only being present at the quarterly meeting of the NIB. The SO should make available additional resource on a part time basis on an as and when required basis. Such resource could enable a direct dialogue with Transport Scotland when deemed necessary, greater representation on the NIB, attendance at the SIRG and better facilitate the consulting and informing of the



SO were there to be impacts on long term network wide issues and strategies arising from changes during the development lifecycle. One option would be for the MD SO to appoint a nominee for long term network matters that have an interface with Scotland and for that nominee to be the primary point of contact with the Scotland region HoSP in between the formal NIB meetings.

However, a balance must be struck regarding the scale of any additional SO resources provided to avoid any perceptions that these measures run counter to the principle of devolution of the long term planning function for Scotland that was agreed in June 2019.

Recommendations

	Recommendations	Owner
R8	The SO should provide additional resource on a part time basis to enable it to better discharge its accountability for long term network planning in Scotland.	SO

Table 6: Theme 4 Recommendations

Theme 5 – Engagement with the principle funder (Transport Scotland) and stakeholders

Background

We assessed the level of dialogue and effectiveness of engagement with Transport Scotland (as principle funder) as well as key stakeholders across the rail industry on long term network planning matters, including those that have a cross border interface (both passenger and freight).

Areas working well

There is a good working relationship with Transport Scotland on the development of long term network strategies. These are discussed between the Scottish region HoSP and Transport Scotland on a regular basis through a wide range of established informal and formal forums. Feedback from Transport Scotland indicates the restructure has enabled a more consistent engagement on Scotland long term planning issues through the establishment of a whole system project client and sponsor capability which better aligns with Scottish Ministers’ High Level Output Specification for Control Period 6. From the interviews undertaken a number of examples were given which demonstrates the effective relationship and Scotland region’s objective approach as evidenced through the HoSP’s input to safeguarding the potential for electrification to Perth as part of the Seven Cities Connectivity programme.



With regard to railway industry stakeholders, and as referred to in Theme 2 above, there are a wide range of forums for stakeholder input to the development of specific strategies. Examples include working groups for the Aberdeen to Central Belt and the West Highland Review Group. These working groups supplement the more formal stakeholder engagement undertaken through the quarterly SIRG meeting. Taking account of both these informal and formal forums from the interviews conducted stakeholders consider they can contribute to the LTPP, STAG and GRIP processes.

Areas for improvement

Notwithstanding the good engagement that is currently in place with stakeholders, from our interviews it is evident that there would be merit in greater emphasis at the regular forums of discussion on key cross border issues, for example competing future capacity and power supply issues on the ECML north of York to Edinburgh (for both passenger and freight). Some stakeholders expressed a view of the need for more direct dialogue with the SO (in partnership with the Scotland region Strategy & Planning team) on such matters. As mentioned earlier in this report SO attendance at key stakeholder meetings such as SIRG would improve this.

We consider also that there would be merit in the SO having a regular strategic dialogue with Transport Scotland (again in partnership with the Scotland region Strategy & Planning team) on the progress of network wide issues and associated key issues and risks. We consider that this should be a new forum separate to the SIRG, but using a common set of management information. Such an arrangement would be appropriate to provide direct visibility to Transport Scotland of the accountabilities of the SO, whilst recognising the need to carefully balance this against the devolution principles that were agreed for long term network planning in Scotland in June 2019.

Advisory measures

	Advisory measures	Owner
A4	There needs to be a regular forum where the SO engages with stakeholders to discuss the effectiveness of the arrangements currently in place (in conjunction with the Scotland region HoSP).	SO
A5	There would be merit in the SO, in partnership with the Scotland region, having a regular strategic dialogue with Transport Scotland (as key funder) on wider GB network issues.	SO

Table 7: Theme 5 Advisory measures



Theme 6 – Effectiveness of interface between the Scotland region and the SO Strategic Network Planning profession

Background

We also assessed the extent of reach back and dialogue that has been maintained by the Scotland region Strategy & Planning team with the SO's Strategic Network Planning (SNP) profession since the transfer. This included interviews with the head of the SO's SNP profession as well as the SO project manager responsible for developing a suite of documentation that provides guidance notes on good practice as part of a programme of activity to further develop the SNP profession within Network Rail.

Areas working well

The Scotland region Strategy & Planning team has maintained a good interface with the SO's SNP profession since the transfer in June 2019. This includes adoption by the Scotland region of existing standard procedures and guidance notes from the SO SNP profession. Continued use of these template procedures has helped ensure the Scotland region Strategy & Planning team remains aligned with the operating environment of the SO.

There is also good input by the Scotland region Strategy & Planning team into the development by the SO profession of additional documentation. This includes the roll out of five core capability frameworks covering particular strategic themes for the profession, and the development of more detailed standard operating procedures and advice notes for particular subject matters associated with each of these five frameworks. Furthermore, the SO has developed a competency framework which shows what knowledge, skills, understanding and level of proficiency is required for each SNP role. This will be used to assess skills gaps and identify training needs. To complement personal development against these competences, a training register is being prepared. It will identify where training, mentoring and self-help are available to support development. Training will be delivered by a mixture of internal and external providers, and will allow opportunities to tap into the capabilities of wider transport and infrastructure planning professional and academic bodies. Whilst much of the above has yet to be rolled out by the SNP profession, the Scotland region HoSP has been involved in its development and supports the use of such documentation to assist in further retaining alignment with the processes and systems of the SO.

As well as input to documentation, the Scotland region HoSP maintains an effective dialogue with the SO HoSP community. This includes regular attendance at the quarterly SO wide HoSP meeting which has SO representatives from all five regions as well as the central team. This is a two day event, with the first day dedicated to the development of the SNP profession, and the second day covering discussion of key GB wide network topics that are relevant for the HoSP community. These meetings also cover dissemination of best practice.



Areas for improvement

Building on the good engagement to date between the Scotland region HoSP and the SO SNP profession there would be merit in the suite of documentation being produced to include specific guidance notes on the devolved arrangements for the Scotland region. This should assist in re-affirming the continued accountability of the SO for long term network planning matters. Such documentation could be included in the manual for Scotland region Strategy & Planning staff as referred to in Theme 3 of this report.

There also would be benefit for the SO to regularly review compliance by the Scotland region Strategy & Planning team with the standard documentation that is being rolled out by the SO SNP profession. This could take the form of sample SO audits which could report back into the SO as part of its regular Governance, Risk, Accountability, Improvement (GRAI) assurance review process. There should also be SO support to training and development needs of the Scotland region Strategy & Planning team.

Such activities should be supplemented by more regular bilateral dialogue between the Scotland region HoSP and the SNP head of profession regarding Scotland region's continued contribution to the strategic development of the profession. To support the Scotland region HoSP there may be merit in further strengthening the existing resource in their Strategy & Planning team to provide a nominated working level single point of contact for the SO SNP profession to engage with.

Advisory measures

	Advisory measures	Owner
A6	The suite of documentation being produced by the SO SNP profession on long term network planning matters should include specific guidance notes on the devolved arrangements for the Scotland region and included in the Scotland region Strategy & Planning staff manual.	SO
A7	There would be benefit for the SO profession to regularly review compliance by the Scotland region Strategy & Planning team with their standard documentation and to provide support to training and development needs.	SO
A8	Building on the good engagement to date, regular dialogue with the head of the Strategic Network Planning profession should be further strengthened to help maintain alignment with the SO on the development and roll out of new processes and systems which would assist the Scotland region in mainlining a consistent approach to the application of long term network planning.	SR/SO



	Advisory measures	Owner
A9	To assist with measure A8 above there would be merit in continuing to have an appropriately resourced nominated working level single point of contact within the Scotland region for such matters over and above the current responsibilities of the Scotland region HoSP.	SR

Table 8: Theme 6 Advisory measures

Theme 7 – Extent of regular review of the effectiveness of the arrangements and flexibility for further adaptation as part of potential further devolution

Background

Whilst acknowledging that the relatively short time that the arrangements have been in place since June 2019 and that to date there has only been three meetings of the NIB, we assessed the extent there was a regular process in place to review their effectiveness. This included having a clear set of success criteria and feedback from funders and stakeholders regarding performance.

Areas working well

From our interviews it is evident that there is a willingness to reflect on potential areas for improvement, including giving stakeholders greater visibility of the role and activities of the NIB (recognising that a summary is already provided in the regular newsletter to stakeholders from the Scotland region HoSP) as well as enhanced consideration of cross border issues.

There is also an appetite for a more formal review by Network Rail of the effectiveness in the summer of this year as part of preparations for potential further devolution post Williams Review announcement. There is a recognition that further changes may be needed in the light of such policy announcements.

Areas for improvement

To review the effectiveness of the measures put in place we consider that the SO needs to develop some success criteria that correspond to the SO’s licence condition accountability for long term network issues. These criteria should be specific and measurable so that performance can be objectively reviewed on a regular basis including a feedback process from key funders and stakeholders. There also needs to be a regular forum where the SO engages with stakeholders to discuss performance (in conjunction with the Scotland region HoSP) as part of a structured feedback process. As mentioned earlier this could be undertaken through the regular SIRG meeting.



Performance against the success criteria measures should be reported to the SO executive leadership team and also made visible to the SO’s Oversight Board in order to demonstrate compliance with the licence condition obligations.

Recommendations

	Recommendations	Owner
R9	The SO should develop success criteria to assess the effectiveness of the arrangements that have been put in place and for performance against these to be discussed at the NIB on a regular basis, including seeking feedback from stakeholders.	SO
R10	The appropriateness of the arrangements should be subject to regular challenge and review by the SO, including the need to accommodate potential further changes should there be further devolution in the light of Williams policy decisions.	SO

Table 9: Theme 7 Recommendations



Summary Conclusions

With reference to the joint ORR/Network Rail mandate for the independent reporter, we make the following conclusions:

- There is a clear understanding of the accountabilities and responsibilities for long term planning and business case development between the SO and the Scotland region following the transfer in June 2019 **(key requirement 3 of mandate)**.
- There is also clarity on the responsibilities of how the development and integration of strategies across the network is carried out, both with respect to Scotland and ensuring the integrity of an overall strategic programme **(key requirement 4 of mandate)**.
- Stakeholders have the ability to input into the LTPP, STAG and GRIP process formally through the SIRG and also through a wide range of working level meetings. Further emphasis is required, however, on the regular consideration of cross border issues for both passenger and freight, for example on the East Coast Main Line **(key requirement 5 of mandate)**.
- The revised arrangements have enabled Transport Scotland to have a more consistent engagement on Scotland long term planning issues through a single integrated team therefore better aligning with Scottish Ministers' High Level Output Specification for Control Period 6.

Notwithstanding the above and evidence of good practice since the transfer, further measures are needed (see our full list of recommendations in the following section of this report) in order for the SO to demonstrate it remains fully accountable for establishing and maintaining long-term plans for the whole network **(key requirements 1 and 2 of mandate)**.

These measures, which take account of a devolved operating environment, include:



- A wider consideration by the SO of the suite of governance arrangements and management information needed than just the NIB which also considers the need to consult and inform the SO were there to be impacts on long term network wide issues and strategies arising from changes during the development lifecycle.
- Greater engagement between the Scotland region and/or MD SO (or their representative) outside the formal governance forums.
- Further steps to roll out and/or update systems, processes and training, including building on the proactive engagement to date with the Strategy & Network Planning profession within the SO.
- A review of what SO resources are needed to undertake the role effectively.
- A process for regular review and challenge based on clear success criteria by the SO of the effectiveness of the arrangements, including seeking feedback from stakeholders and retaining flexibility for possible further devolution post Williams.

Our specific recommendations (actions we consider should be implemented now) and advisory measures (actions that can build on current measures already in place) that support the above are summarised in the following section of this report. Implementation of these measures will enable a more holistic view to be determined of the effectiveness of the arrangements for SO retaining primary accountability for long-term plans for the whole network.

We advise that progress in implementing these recommendations should also be regularly communicated to Transport Scotland and stakeholders in order to demonstrate the additional measures Network Rail has taken.

Summary of recommendations

	Recommendation	Theme	Owner
R1	The NIB would benefit from a more structured set of management information that better highlights network wide issues and concerns for the SO to consider.	Governance	SO/SR
R2	The SO should be utilising the NIB to highlight network wide issues that have the potential to affect Scotland as part of a two way information flow.	Governance	SO
R3	The NIB terms of reference should clarify the escalation route within NR should network wide issues not able to be resolved at the NIB.	Governance	SO
R4	The SO should have representation on SIRG and a process should be established in the Scotland region that ensures the views of the SO on network wide matters are taken into account of in formal investment decisions throughout the GRIP development process.	Governance	SO
R5	There needs to be much greater working level dialogue between the MD SO (or their nominee) and the Scotland region on long term network issues in between the formal NIB meetings.	Day to day working	SO/SR
R6	As part of the planned programme for implementing PPF changes in Scotland a regular training programme should be provided to staff within the Scotland region Strategy & Planning team regarding their responsibilities associated with the devolved functions.	Training	SR
R7	As part of the planned programme for implementing PPF changes in Scotland a staff manual should be produced to describe the background to the arrangements that have been put in place for the Scotland Strategy & Planning team and how the SO's licence condition obligations for long term network wide planning are maintained.	Processes & systems	SO/SR
R8	The SO should provide additional resource on a part time basis to enable it to better discharge its accountability for long term network planning in Scotland.	Resources	SO



	Recommendation	Theme	Owner
R9	The SO should develop success criteria to assess the effectiveness of the arrangements that have been put in place and for performance against these to be discussed at the NIB on a regular basis, including seeking feedback from stakeholders.	Regular review	SO
R10	The appropriateness of the arrangements should be subject to regular challenge and review by the SO, including the need to accommodate potential further changes should there be further devolution in the light of Williams policy decisions.	Regular review	SO

Table 10: Summary of recommendations for themes 1-7

Summary of advisory measures

	Advisory measures	Theme	Owner
A1	There would be benefit from mapping the full range of long term planning governance forums in the Scotland region with those in the SO/wider rail industry which have a Scotland interface to show the relationships to one another, including to the NIB.	Governance	SO/SR
A2	The Scotland region should implement a more structured approach to routinely recording the status of network wide issues (including intra-Scotland region and those undertaken in dialogue with other SO HoSP's for specific regions) for regular discussion with the MD SO.	Day to day working	SR
A3	To proactively mitigate potential perceptions of bias, management information should as far as practical be common to and shared with the full range of meetings held on long term network wide issues including within Network Rail, with Transport Scotland (as principle funder) and also with key stakeholders.	Day to day working	SR
A4	There needs to be a regular forum where the SO engages with stakeholders to discuss the effectiveness of the arrangements currently in place (in conjunction with the Scotland region HoSP).	Engagement	SO
A5	There would be merit in the SO, in partnership with the Scotland region, having a regular strategic dialogue with Transport Scotland (as key funder) in partnership with the Scotland region on wider GB network issues.	Engagement	SO
A6	The suite of documentation being produced by the SO SNP profession on long term network planning matters should include specific guidance notes on the devolved arrangements for the Scotland region and included in the Scotland region Strategy & Planning staff manual.	SNP Profession	SO
A7	There would be benefit for the SO profession to regularly review compliance by the Scotland region Strategy & Planning team with their standard documentation to provide support to training and development needs.	SNP Profession	SO



	Advisory measures	Theme	Owner
A8	Building on the good engagement to date, regular dialogue with the head of the Strategic Network Planning profession should be further strengthened to help maintain alignment with the SO on the development and roll out of new processes and systems which would assist the Scotland region in mainlining a consistent approach to the application of long term network planning.	SNP Profession	SO/SR
A9	To assist with measure A8 above there would be merit in continuing to have an appropriately resourced nominated working level single point of contact within the Scotland region for such matters over and above the current responsibilities of the Scotland region HoSP.	SNP Profession	SR

Table 11: Summary of advisory measures for themes 1-7



Appendices

Appendix 1 - Reporter mandate

Appendix 2 - Log of meetings held

Appendix 4 - Documentation reviewed

Appendix 3 - Glossary



Appendix 1 – Independent Reporter Mandate

Background

In 2018 Network Rail undertook an extensive review to identify potential improvements in the way it operates. In light of its review it is now implementing its “Putting Passengers First programme (PPF). This has involved the creation of 5 geographical regions and the devolution of a number of central functions. ORR introduced a Managing Change Policy at the start of the control period which sets out the process for engagement between Network Rail and ORR when considering changes to accountability or budgets¹. ORR subsequently issued its Opinion on the PPF programme in May 2019². As the PPF programme is being implemented in a number of phases ORR has since published update letters on key issues as they have arisen³.

One of the changes that Network Rail has made as part of the PPF programme is the devolution of certain activities previously carried out by the System Operator (SO) to create a whole-rail-system project client and sponsor capability based in Scotland. This change took effect from 24 June 2019 and is intended to better align with the requirements of Scottish Ministers High Level Output Specification for control period 6 (CP6 which will run from 1 April 2019 to 31 March 2024). With one primary funder in Scotland and a single region, this change also creates consistent engagement with the primary funder through a single integrated team.

Network Rail’s Network Licence contains specific obligations regarding the SO business unit, particularly with regard to the SO business unit taking primary responsibility for establishing and maintaining long-term plans for the whole network. In carrying out its functions the SO may be assisted by any route business or any other business unit of the licence holder. Network Rail recognised that the changes it has made in devolving some SO activities to Scotland required additional governance arrangements to be put in place.

These include the creation of a new Network Integration Board for Scotland chaired by the SO to provide governance for those functions exercised by the Scotland Strategy and Planning team for which the System Operator is accountable within the System Operator operating model.



The functions devolved to the Scotland region (but not to other GB regions) from the SO from 24 June 2019 include:

- Determining the capability requirements of the rail system in the longer term based on funder objectives and desired outcomes.
- Bringing together the long-term strategy for the development of the network and the medium-term investment priorities and understanding the impact of the investments on demand and the economics of the railway as part of a Strategic Business Case/Strategic Outline Business Case.

Business Objectives and Priorities

The purpose of this review is to provide third party assurance of the appropriateness and adequacy of the additional governance arrangements put in place between the SO and the Scotland region. It is important for the reporter to understand the licence obligations placed on the SO and how the governance arrangements outlined above work in practice. The review should attempt to identify recommendations to address any weaknesses it may identify in the SO's processes and control. These recommendations should be tangible, specific and cost-effective.

This review should consider:

The measures Network Rail has put in place, in light of the increased devolution to the Scotland region, to ensure the SO meets its obligations (including the role and function of the Network Integration Board for Scotland):

- Whether those measures are effective in enabling the SO to retain to primary responsibility for establishing and maintaining long-term plans for the whole network.
- The accountabilities and responsibilities for Long Term Planning and Business Case Development and whether there is a common understanding between the SO and the Scotland region regarding the processes and practice.
- How the development and integration of strategies across the network is carried out, both with respect to Scotland and ensuring the integrity of an overall strategic programme.
- The ability of stakeholders to input into the LTPP, STAG and GRIP processes.

This review should not seek to comment on the merits of the devolution of these responsibilities to the Scotland region as this is a management decision for Network Rail.



We expect reporters to gather and review evidence such as:

- A clear description of the mitigation measures NR has put in place.
- Any available documents (e.g. Terms of Reference, minutes etc.) for those processes.
- Any planned change to (or review of) these arrangements.

We expect the reporters to have face to face meetings with key staff at the SO to understand the governance arrangements and how these are working in practice. We also expect the reporters to meet with key staff in the Scotland region in order to understand the practicalities of the new arrangements and identify any issues.

Key deliverables

The required deliverables are:

- Progress updates via conference call with associated agenda/minutes.
- A presentation of draft findings to be discussed at a meeting with Network Rail and ORR.
- A draft report (for comment by ORR and Network Rail) covering the issues set out in the scope section above, to be provided by the end of February 2020.
- A final report in late March 2020 that addresses comments provided by ORR and Network Rail on the draft report.



Appendix 2 – Log of meetings held

In accordance with the Independent Reporter Mandate we held a number of interviews with key personnel. In addition, a number of follow up meetings were held to address some key issues which arose from the original meetings. The follow up meetings were used to test and triangulate our findings. The full list of interviews is listed below.

Meeting	Date
Initial planning meeting with ORR and Network Rail	09.3.2020
Interim MD, SO, Network Rail	11.3.2020
Head of Strategy & Planning, Scotland region, Network Rail	12.3.2020
Head of Legal Scotland region, Network Rail	12.3.2020
ORR	12.3.2020
Former Strategy & Planning Director for Scotland, SO, Network Rail	13.3.2020
Director of Investment & Business Development, Scotland region,	13.3.2020
Tom Greenan, Director of Finance, Scotland region, Network Rail	13.3.2020
Head of Profession for Strategic Network Planning, SO, Network Rail	13.3.2020
Strategy & Planning Director, South, SO, Network Rail	16.3.2020
Stakeholder 1	16.3.2020
Stakeholder 2	17.3.2020
Strategy & Planning Director (Whole Industry Strategic Plan) SO, Network Rail	17.3.2000
ORR	18.3.2020



Head of Strategy & Planning, Scotland region, Network Rail & Legal Counsel (Routes), Network Rail	18.3.2020
Head of Rail Policy, Transport Scotland	18.3.2020
Former Strategy & Planning Director for Scotland, SO, Network Rail	19.3.2020
Interim MD, SO, Network Rail	23.3.2020
Stakeholder 3	24.3.2020
Director, Capacity Planning, SO, Network Rail	25.3.2020
Emerging findings presentation with ORR and Network Rail	27.3.2020
Stakeholder 4	03.04.2020

Appendix 3 – Documentation reviewed

The list of documentation assessed as part of the review is set out below:

ID	Document / File Name	Date Received
1.	Letter to Group Director Transformation, Network Rail from ORR dated 8 July 2019 regarding the proposed governance arrangements in Scotland for devolution of the long term network planning function from the SO to the Scotland region	09.03.2020
2.	Network Licence granted to Network Rail Infrastructure Limited as of 1 April 2019	09.03.2020
3.	Scotland Route Strategy, July 2016	09.03.2020
4.	Transport Scotland Rail Enhancements & Capital Investment Strategy	09.03.2020
5.	Terms of Reference for the Network Integration Board (Scotland)	09.03.2020
6.	Minutes of NIB meeting held on 09.10.2019	09.03.2020
7.	NIB management information pack for 15.01.2020 meeting	09.03.2020
8.	NIB agenda for meeting held on 09.10.2019	09.03.2020
9.	Minutes of NIB meeting held on 15.01.2020	10.03.2020
10.	NIB management information pack for 09.10.2019 meeting	10.03.2020
11.	NIB agenda for meeting held on 15.01.2019	10.03.2020
12.	Top level organisational structure of the SO	10.03.2020

13.	Organisational structure of the Scotland region Strategy & Planning team	10.03.2020
14.	Newsletter to key stakeholders from the Scotland region HoSP regarding long term network issues dated 24.01.2020	10.03.2020
15.	Organisational structure of the Scotland region executive team	12.03.2020
16.	Terms of Reference for the SIRG meeting	12.03.2020
17.	Team Scotland Execution Plan dated 20 December 2019	12.03.2020
18.	NR PPF Draft Scotland Governance End State	12.03.2020
19.	Scotland Strategy & Planning Risks and Safeguards 31 May 2019	12.03.2020
20.	Minutes of SIRG meeting held on 04.07.2019	12.03.2020
21.	Minutes of SIRG meeting held on 03.10.2020	12.03.2020
22.	System Operator Strategic Plan – February 2019	12.03.2020
23.	SIRG management information pack for 04.07.2019 meeting	12.03.2020
24.	SIRG management information pack for 03.10.2019 meeting	12.03.2020
25.	System Operator Tier 2 Milestones for Scotland for 2019/2020	13.03.2020
24.	Status of Scotland region long term strategies as of 13.03.2020	13.03.2020
26.	Strategic development – breakdown of activities provided to ORR dated 12.06.2019	13.03.2020
27.	Workshop slides for shaping the WISP	18.03.2020
28.	Sample presentation information for the quarterly HoSP profession meeting across the SO	18.03.2020
29.	Strategic Planning and the Network Strategy Overview for the SO SNP profession	19.03.2020
30.	Strategic Network Advice Guidance Note 12.02.2020 for the SO SNP profession	19.03.2020
31.	Identifying Possible Solutions Standard Operating Procedure for the SO SNP profession	19.03.2020



32.	Terms of Reference for the System Long Term Planning Governance Board	19.03.2020
33.	Terms of Reference for the RDG's Planning & Oversight Group	19.03.2020
34.	Scotland Transport Appraisal Guidelines	19.03.2020
35.	System Operator GRAI Assurance Review dated 18.03.2020	19.03.2020
36.	Newsletter to key stakeholders from the Scotland region HoSP regarding long term network issues dated 16.03.2020	19.03.2020
37.	Scotland region Strategy & Planning changes to the way of working dated (Practical Measures to Note) 24.06.2019	19.03.2020
38.	Understanding Network Safety Standard Operating Procedure for the SO SNP profession	24.03.2020
39.	Understanding Network Safety Guidance Notes dated 19.12.2019 for the SO SNP profession	24.03.2020
40.	Sample Client Requirements Document - East Kilbride Corridor Enhancement	24.03.2020
41.	Drivers for Change SO Standard Operating Procedure for SO SNP profession	30.03.2020
42.	Understanding System Capability Standard Operating Procedure for the SO SNP profession	30.03.2020
43.	Sharing Strategic Network Advice Standard Operating Procedure for the SO SNP profession	30.03.2020
44.	SO Competency Framework that maps to the top level five Standard Operating Procedures	30.03.2020
45.	NIB management information pack for 15.01.2020 meeting	03.04.2020

Appendix 4 – Glossary

Terms used in this report	
CMSP	Continuous Modular Strategic Planning
DfT	Department for Transport
ECML	East Coast Main Line
FOC	Freight Operating Company
GRAI	Network Rail's Governance, Risk, Assurance, Improvement assurance process
GRIP	Governance for Railway Investment Projects
HLOS	High Level Output Specification
HoSP	Head of Strategic Planning
LTPP	Long Term Planning Process
NIB	Network Integration Board (Scotland)
PPF	Putting Passengers First
POG	RDG's Planning & Oversight Group
RDG	Rail Delivery Group
RFG	Rail Freight Group
RIRG	Route Investment Review Group (SO template meeting)
SEtEC	Scotland East to England Connectivity
SIRG	Scotland Investment Review Group (formerly the RIRG prior to the transfer)
SNP	Strategic Network Planning



Terms used in this report	
STAG	Scottish Transport Appraisal Guide
SO	System Operator
SR	Network Rail Scotland region
TOC	Train Operating Company
TS	Transport Scotland
WISP	Whole Industry Strategic Plan

