Information Assurance Map

List of information or data obtained from external sources and where ORR obtains assurance of its accuracy and completeness

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
Health and safety						
Safety – RIDDOR	We currently collect data on (the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations, 1995 (RIDDOR) reports. Bulk (low risk incidents) RIDDOR reports are reported to us monthly. [RIDDOR 2013 comes into force on 1 October 2013.]	The data comes from ORR online web-form (and a few hard-copy handwritten forms), RSSB SMIS (Safety Management Information System) and LUL's LUSEA (London Underground Safety Environmental Assurance) system.	Inspectors use the raw data for information. There is also a legal requirement on us to collect it,	We collect the data and ORR's I&A team periodically use quality assurance processes to check it.	Not at present, although we have given a commitment to consider including some RIDDOR bulk report data in our annual report.	ORR's I&A team quality assurance processes.
RSSB PIM Safety KPI Data collection from SMIS and other sources to model the risk changes over time where the actual events themselves are very rare. It measures the risk, per million train miles, of a train accident - ie collision, derailment, fire or striking a road vehicle on a level crossing.	Precursor Indicator Model (PIM) data. Covers all mainline rail industry safety indicators.	RSSB/mainline industry	To monitor mainline overall safety performance quarterly and report annually.	Monitoring and work priority planning.	Published periodically. We use updated versions of PIM model in our safety and draft and final PR13 determination. We use the PIM model as a proxy for monitoring	RSSB uses its in-house quality assurance processes to check (a) the quality of the mainline industry source data and (b) the modelling techniques it uses to model

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
					mainline industry performance against DfT's CP4 High Level Output Specification's 3% risk reduction in passenger and worker safety metric targets.	mainline safety performance. ORR attends the PIM and Safety Risk Model working-level practitioners' working group and governance committees overseeing the models development. RSSB is developing a NR-focused PIM model for CP5. Our 2012-13 annual report identified potentially weaknesses in the report because it was insufficiently sophisticated to show the susceptibility of lower-order infrastructure risk precursors to adverse weather; an

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						issue RSSB is remedying.
LUL PIM Safety KPI	LUL PIM-like data, covers LUL safety indicators	LUL	To monitor quarterly and report annually.	Monitoring and work priority planning.	Not published but, we draw on its analysis as an input to our assessment of LUL's performance	LUL's own in-house quality assurance processes, which includes a well-established risk quantification processes.
PHRTAs	Potentially Higher Risk Train Accidents (PHRTA) data	RSSB/mainline duty holders	To monitor and report annually.	Monitoring and work priority planning.	Not published but, we use the PHRTA trend analysis to inform our safety assessment and work planning , including the safety assessment overview in the chief executive's monthly board report, and publish the PHRTA trend chart in our annual health and safety report.	RSSB's own internal data quality assurance processes, which are used to assess the risk weighted potential risk posed by the particular circumstances of an incident.

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
Level Crossings near-miss	Data on near-misses at Network Rail's mainline level crossings	RSSB/NR/TOCS/FOCs	To monitor four-weekly from NR's Safety, Health and Environment Performance (SHEP) report.	Monitoring and work priority planning	Not published but, we use the near-miss trend to inform our safety assessment and work planning, including the safety assessment overview in the chief executive's monthly board report, because it provides a potentially valuable leading data indicator.	RSSB's own internal data quality assurance processes, which includes the on-going review to improve the quality and consistency of level crossing names and location-finding data.
Wrong-Side Failures	Data on wrong side failures (i.e. circumstances where system safety has been compromised in some way).	RSSB/NR/TOCs/FOCs	To monitor four-weekly from NR's Safety, Health and Environment Performance (SHEP) report.		Not published but, we use the wrong-side failure trend to inform our safety assessment, including the safety assessment overview in the chief executive's monthly board	RSSB's own internal data quality assurance processes of the data industry provides through the Safety Management Information System (SMIS).

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					report, because it provides a potentially valuable leading data indicator.	
Occupational Health data	The data has been developed for an occupational health programme to improve the way in which the industry tackles health issues.	Baseline data includes data from rail industry and LUL.	Monitoring and work priority planning. It relates to ORR's vision of a rail industry that consistently achieves best practice in occupational health management.	All Britain's railway duty holders.	For a specific projects/ time-period	On-going process , both in ORR/RSSB and HSE to improve data quality and assurance; our efforts have meant they have improved over recent years but we're pushing for more, particularly around ill-health causation.
ORR's Annual Safety Report	Annual Safety Report datasets primarily supplied by RSSB, NR, but also ORR's RIDDOR reports and enforcement /prosecution data.	RSSB/NR/ORR	Annual publication.	Covers all Britain's railway duty holders.	ORR website	Alongside RSSB and industry quality assurance processes, we use several other independent data and intelligence sources as part

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						of our health and safety assessments, including our own permissioning, audit, inspection, RM3 assessment, investigation and prosecution activities.
SIDB	Annual Safety Intelligence Database data	RSSB	Bi-annual health and safety board report and health and safety report	Monitor and inform our intelligence-gathering processes.	Not published but we use the SIDB to inform our assessment of industry health and safety performance.	RSSB data assurance processes.
LUL - ASR	Similar LUL Annual Safety Report datasets	LUL	For reference.		Not published but we use LUL's ASR to inform our assessment of its health and safety performance.	LUL's internal data assurance processes, which includes its well-established risk quantification processes.

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
SPAD	Signal Passed At Danger	RSSB/NR/TOCs/FOCs	To monitor four-weekly from NR's Safety, Health and Environment Performance (SHEP) report.		Issued on our data portal. Not published, but we use the wrong-side failure trend to inform our safety assessment, including the safety assessment overview in the chief executive's monthly board report, because it provides a potentially valuable leading data indicator.	
Safety KPIs	The only CP4 safety KPIs are DfT's CP4 High Level Output Specification's 3% risk reduction in passenger and worker safety metric targets, which are measured by RSSB's Safety Risk Model (revised every 18-months) and the by proxy quarterly review	RSSB and the mainline industry duty holder.	Published periodically. We use updated versions of PIM model in our safety and draft and final PR13 determination.	Periodically SRM and PIM used to report against the CP4 HLOS's passenger and workers safety metrics target.	We use the SRM and PIM to measure mainline industry performance against the HLOS safety metrics targets.	RSSB's data quality assurance processes. Over which we maintain governance oversight by attended the model practitioners working groups

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	of the PIM model, which will be reviewed monthly from October/November 2013. No regulatory safety KPIs are planned for CP5.					and the governance groups that oversee the working groups.
Main line train service performance						
PPM	Public Performance Measure which measures train performance for passenger operators (franchised and open access operators)	NR	To monitor		ORR website	Independent reporter & I&A internal check & pre-release check by NR
CaSL	Significant Lateness and Cancellations for passenger operators (franchised and open access operators)	NR	To monitor		ORR website	Independent reporter & I&A internal check & pre-release check by NR
FPM	Freight Performance Measure data for freight operators	NR	To monitor		ORR website (just national)	Independent reporter & I&A internal check & pre-release check by NR
Operator Delay Minutes	Delay minutes caused by or attributed to operators (passenger and freight)	NR	To monitor		No (NR publish)	Independent reporter & I&A internal check
Network Rail Delay Minutes	Delay minutes caused by Network Rail	NR	To monitor		NRM and plans to publish on	Independent reporter & I&A

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
					ORR website	internal check
Incident Counts	Number of incidents that an operator is responsible for (passenger and freight)	NR	To monitor		No	Independent reporter & I&A internal check
Top 50 incidents	A list of the top 50 incidents in the period by total delay minutes	NR	To monitor		No	Independent reporter & I&A internal check
POMR	Possession indicator report	NR	To monitor		No	Independent reporter
IPPR	The Industry Performance Period Report that tracks the performance of franchised, freight and open-access train operators.	NR	To monitor		No (NR publish it in part)	Independent reporter & I&A internal check
IPPR Delay Minutes Matrix	Data on operator on operator impact delay minutes	NR	To monitor		No	Independent reporter & I&A internal check
Network Availability (Passenger and Freight)	The availability of the rail network measured by the impact (value or index of) on passengers and freight traffic. There are subcategory KPIs associated with Network Availability.	NR	To monitor		ORR website and NRM	Independent reporter & I&A internal check
Use of the main line network						

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
Timetabled Train Kilometres TTKM	Timetabled Train Kilometres data showing planned mileage for a typical day of the week, a Saturday, and a Sunday, for passenger operators at each timetable change.	Deltarail	To publish and to normalise.	Measures of train kilometres are used by the rail industry to show the volume of service provision.	ORR website	I&A internal check
Mileage	Actual mileage for passenger operators (franchise and open access operators) and freight operators	NR	To publish and to normalise		ORR website	Independent reporter & I&A internal check
Freight Moved	The amount of freight carried on the network by different freight operators. This takes into account the net weight of the goods and the distance carried.	NR	To publish		ORR website	Independent reporter & I&A internal check & pre-release check by NR
Freight Lifted	The aggregate number of freight carried by four freight operators - DB Schenker, Direct Rail Services (DRSL), Freightliner, Great Britain Rail Freight (GBRf).	Freight operators	To publish		ORR website	I&A internal check
Number of freight train movements	This measure shows the total number of train movements	NR	To publish		ORR website	I&A internal check & pre-release check

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
	(including infrastructure trains) on the network.					by NR
Impact on road haulage	Displays the number of lorry journeys and kilometres that have been avoided by using rail to transport freight.	Derived from DfT's Continuing survey of roads goods vehicles	To publish		ORR website	I&A internal check & pre-release check by DfT
Rail freight market share	Shows the percentage market share of freight moved and freight lifted for rail compared to other modes.	Rail data: ORR Road and water data: DfT Pipeline data: Department of Energy and Climate Change (DECC)	To publish		ORR website	I&A internal check & pre-release check by DfT
NPPR Traffic Growth	Network Rail's forecast of operator mileage in miles and kilometres.	NR	To monitor		No	Independent reporter & I&A internal check
Passenger journeys	The number of passenger journeys made on the mainline rail network for franchised and non-franchised operators (by ticket type and sector)	LENNON and TOCs	To publish and to normalise		ORR website	I&A internal check & pre-release check by ATOC
Passenger kilometres	The number of passenger kilometres travelled on the mainline rail network	LENNON and TOCs	To publish and to normalise		ORR website	I&A internal check & pre-release check by ATOC

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
	for franchised and non-franchised operators (by ticket type and sector)					
Passenger revenue	Total revenue for franchised and non-franchised operators, including revenue per journey and revenue per kilometre.	LENNON	To publish		ORR website	I&A internal check & pre-release check by ATOC
Regional usage	Estimates of the number of journeys to/from/within each Government Office Region based on an origin/destination matrix	SDG (paid for by ORR)	To publish		ORR website	Extensive checks by SDG and I&A internal check
Network condition (Network Rail)						
Infrastructure	Key statistics on the infrastructure network (railways) for the length of route open for rail traffic managed by Network Rail. Includes how many are electrified.	NR	To publish		ORR website	Independent reporter & I&A internal check & pre-release check by NR
TSR	Total number and types of Temporary Speed Restrictions.	NR	To monitor		ORR website	Independent reporter & I&A internal check
Network Condition Report	Data of key indicators	NR	To monitor		No (NR publish	Independent

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
	on the condition of Network Rail Assets.				in Annual return)	reporter & I&A internal check
Broken Rails	Number of broken rails	NR	To monitor		ORR website	Independent reporter & I&A internal check
Track buckles KPI report	Number of track buckles by NR route	NR	To monitor. Supplied periodically		No (NR publish in annual return)	Independent reporter & I&A internal check
Financial data						
Government Support	Data on subsidy provided by the Government. Includes Central government grants, grants made to Passenger Transport Executives (PTEs), and direct network support includes grants to Network Rail.	DfT, WA and TS	To publish		ORR website	I&A internal check & pre-release check by DfT
Investment	Returned investment data on the railways by stakeholders.	ONS (paid for by ORR)	To publish		ORR website	ONS internal check and I&A internal check
Finance Pack	Network Rail's financial data. Includes renewal volume data	NR	RME use the data		NRM and annual efficiency assessment	Reviewed by NR Board, NR internal audit procedures (presumed) and DfT
NR Regulatory Financial Statements	Network Rail's regulatory financial	NR	RME use the data in the GB		Use in the GB rail industry	Reviewed by external

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
	statements		rail industry financials publication		financials publication	auditors of Network Rail
NR Statutory Financial Statements	Network Rail's statutory financial statements	NR	RME use the data in the GB rail industry financials publication		Use in the GB rail industry financials publication	Reviewed by external auditors of Network Rail
TOC Statutory Financial Statements	Train operating companies statutory financial statements		RME use the data in the GB rail industry financials publication		Use in the GB rail industry financial publication	Reviewed by external auditors of relevant organisation
Other train operator/passenger data						
NRES	National Rail Enquiry Services data	ATOC	To publish		ORR website	I&A internal check
Fares Index	Measures the average change in fare prices from year to year and presented as an index. Split by sector.	LENNON	To publish		ORR website	I&A internal check & pre-release check by ATOC
Average age of Rolling Stock	Data on the average age of rolling stock leased from ROSCOs by franchise operators.	DfT	To publish		ORR website	I&A internal check & pre-release check by DfT
TOCs Key Stats	The annual key statistics on operators, includes the number of stations they operate and their number of	TOCs	To publish		ORR website	I&A internal check

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
	employees					
Complaints	The number of complaints made by rail travellers.	Train operators, London Travel Watch, Passenger Focus	To publish		ORR website	I&A internal check
Station Usage	An estimate of the number of people entering, exiting and interchanging at stations using an origin-destination matrix.	SDG (paid for by ORR)	To publish		ORR website	Extensive checks by SDG I&A internal check
Real revenue forecasts	Forecasts of real fare revenue up to the end of CP5	DfT's Network Modelling Framework	As a starting point for setting the baseline for the farebox metric of the volume incentive		For volume incentive farebox baseline (Final Determination)	DfT
Miscellaneous other data						
Sustainable Development	Data on environmental indicators	Freight operating companies, ATOC, NR, and Eurostar	To publish		ORR website	I&A internal check
LUL Passenger Journeys	LUL passenger journeys	LUL	To monitor		No (LUL publish)	I&A internal check
LUL Broken Rails	LUL number of rail breaks	LUL	To monitor		ORR website	I&A internal check
Rail Market Monitoring Survey (RMMS) questionnaire	Aggregated quantitative and qualitative data on the UK rail market (including average	Various (ORR, Network Rail Annual Report/Regulatory Statement)	To submit to Commission RMMS group	Publication of rail market monitoring study by European	ORR website	ORR

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
	access charges)			Commission (every 2 years)		
Regulatory Bodies working group questionnaire	Aggregated quantitative and qualitative on the composition and work of regulatory body	ORR	To submit to IRG Rail RB Commission RB working group	Publication of rail market monitoring study by European Commission (every 2 years)	ORR website	ORR
Lib index	Factual questionnaire giving details of legislation and market access conditions in the UK	Compiled by ORR, from law, NR, various.	Submitted to IBM / DB rail liberalisation survey	Publication of index	Every 4 years, by DB	ORR
EC questionnaires	Various – either qualitative or quantitative information	ORR or public documents	To submit to European Commission	To be included in studies which will inform development of European legislation	As necessary	ORR
Common Safety Indicator data (NSA annual safety report to ERA)	European safety data	RSSB collate, ORR manipulate	To submit to ERA (legal requirement)		ORR website (ERA website)	I&A internal check
ERA questionnaires	Various – either qualitative or quantitative information on safety	Various sources, ORR collate	To submit to ERA in support of legislative development, impact assessments etc.		No (ERA will often produce report summarising responses)	I&A internal check
Ad-hoc queries from commission, ERA, and other national safety authorities	Various – typically either qualitative or quantitative information.	Various sources, ORR collate	Various		Various	I&A internal check

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
Eurostat data (various annexes)	European statistics published by the European Commission	Various	To submit to Eurostat		No (Published by Eurostat)	I&A internal check
HS1 data	Data on HS1 Performance Floor, Eurostat data and Asset data (NB: Asset data to be supplied has yet to be finalised).	HS1	To monitor		No (HS1 plan to do so)	I&A internal check
T – 12 data files	Weekly data showing how long in advance NR and operators have liaised before new or revised train schedules are accepted, and uploaded into the timetabling system	NR	To monitor		No	I&A internal check
Economic values per additional rail passenger km	Economic values per additional rail passenger km	DfT (publicly available, WebTAG Unit 3.9.5)	To calculate volume incentive payment rate for passenger train miles metric		Use for volume incentive payment rates (Final Determination)	Publicly available information
National average diversion factors	Diversion factors to/from rail from/to other modes	DfT (publicly available, WebTAG Unit 3.13.2)	To calculate volume incentive payment rate for passenger train miles metric		Use for volume incentive payment rates (Final Determination)	Publicly available information
Inflation	Inflation – RPI All Items Index – CHAW series	ONS	To calculate volume incentive payment rates		Use for volume incentive payment rates (Final Determination)	Publicly available information

Title of data	Description	Source	What ORR use it for	Data provider use of data	ORR Publish?	Source of assurance
Social costs per lorry km	DfT Artic marginal external costs	DfT	To calculate volume incentive payment rate for freight metrics		Use for volume incentive payment rates (Final Determination)	ORR cross check with older values from SRA work
ESI coal train miles and gross tonne miles	Historical data showing annual train miles and gross tonne miles for ESI coal freight traffic	NR billing system	To calculate volume incentive payment rate for freight metrics		Use for volume incentive payment rates (Final Determination)	Subject to scrutiny from NR's customers
Freight and passenger traffic forecasts	Forecasts of passenger train miles, freight train miles and freight gross tonne miles, prepared by NR for Delivery Plan	NR	As a starting point for setting volume incentive baselines		For volume incentive baselines (Final Determination)	Freight operators are aware of the model used to derive the forecasts, providing a form of assurance. Also checked by freight operators in their responses to the freight market study.

Key
I&A internal check. This stands for Information and analysis internal check. It is a check that is carried out within RPP's information and analysis team.

Please note:

ATOC were also asked if they had any publications they could add to the table and they said the following: 'We don't routinely publish any data – we send reports to our members but these are on a very restricted mailing list. We publish press releases containing pieces of analysis but these vary markedly over the course of a year. I believe press releases are the only publicly available analysis/data that we produce.'

DFT were also asked if they had any publications they could add to the table and they pointed to their transparency section which sets out what information they publish, but not in the format above, http://www.dft.gov.uk/transparency/. As they suggested the impact and input indicators are probably the most relevant and they can be found at http://www.dft.gov.uk/publications/business-indicators.