

# Network Rail Stakeholder Survey for Year 4 of Control Period 6

Spring 2023

Office of Rail and Road



Final Report

By Opinion Research Services

May 2023



# Network Rail Stakeholder Survey for Year 4 of Control Period 6

Spring 2023

## Opinion Research Services

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# 1. Executive Summary

## Summary of Main Findings

- 1.1 As part of its annual assessment of the quality of Network Rail’s stakeholder engagement, the Office of Rail and Road (ORR) has carried out an annual independent online survey of Network Rail’s stakeholders. In February 2023, ORR commissioned Opinion Research Services (ORS) to carry out this part of the assessment for Year 4 of CP62022/23.
- 1.2 The survey was carried out online between 20 March 2023 and 30 April 2023. ORR sent an open link to the survey (and subsequent reminders), via email, to all stakeholders of Network Rail for whom they held an email address. In total, 319 responses were received, giving an overall response rate of 12%.
- 1.3 The report compares the performance of Network Rail’s five geographical regions– namely Eastern, North West and Central, Network Rail Scotland, Southern and Wales and Western; plus the System Operator (SO) business unit.
- 1.4 The following paragraphs selectively highlight key findings from the online survey of Network Rail’s stakeholders. Readers are referred to the detailed graphics and commentary for the full story. The suite of ORS reports provided to ORR also includes full cross-tabulations.
- 1.5 The summary below begins with overall conclusions, followed by individual summaries, highlighting key findings for each of the six business units.

## Overall conclusions

- 1.6 Considering all areas of engagement together, no business unit is performing significantly better or worse overall. The business units that are performing better or worse vary across each area of engagement and these are detailed in the summary below.
- 1.7 The year 4 results, in general, are consistent (in-line) with those from the survey carried out in year 3. There are a few areas where there has been a significant change between year 3 and year 4; the proportion of respondents rating Control Period 7 (CP7) planning as very good or good has significantly decreased, while the level of awareness of the Enhancements Development Plan (EDP) has significantly increased (though a significantly lower proportion in year 4 say that the information provided in the plan fully meets their needs). Significant changes within business units have been noted, where relevant, throughout the report.

## Principles of good stakeholder engagement

- 1.8 While around seven-in-ten (69%) respondents rate Network Rail’s engagement with them regarding the principle of being **inclusive** as very good or good, only around half to three fifths of all respondents rate engagement regarding the principles of being **effective, well-governed** and **transparent** as very good or good.
- 1.9 It is important to note, however, that in general a higher proportion of respondents have rated their engagement with individual business units, in terms of the principles of good stakeholder engagement, as very good or good than when considering their engagement with Network Rail as a whole. This possibly suggests that, on the whole, stakeholders engage more closely with individual business units than with Network Rail more generally.
- 1.10 In general, the Southern and North West and Central business units rate more highly in terms of meeting the principles of good stakeholder engagement, while the results for Wales and Western are consistently lower.
- 1.11 Further comments provided by 119 respondents around the principles of good stakeholder engagement also indicated a mixed experience. Just over two fifths (41%) were generally positive, saying that they were happy with service and/or that the service had improved, and that there was good communication. However, poor communication was mentioned by a third (33%) of respondents, as well as other issues such as Network Rail not being run efficiently/poorly managed (21%), a lack of transparency (19%), a lack of consistency/internal communication/knowledge (19%) and being unwilling to listen/act/making their mind up before engagement (16%).

## Business planning engagement

- 1.12 Overall, over two fifths of respondents said that Network Rail engaged with them, during the last 12 months, about its business planning (42%). Generally, higher levels of engagement on business planning were reported by respondents who have engaged with North West and Central (57%) and lower levels of engagement were reported by those who engaged with the Southern business unit (41%).
- 1.13 In terms of the quality of engagement when it takes place, almost two thirds of respondents rate engagement with Network Rail regarding its business planning (65%) as very good or good.
- 1.14 This varies by business unit with the highest levels of satisfaction reported by respondents who have engaged with Network Rail Scotland (85%). The business unit with the lowest proportion of respondents rating the quality of engagement as very good or good for general business planning is the Eastern business unit (59%).
- 1.15 General feedback on annual business planning engagement is mixed, highlighting a high level of good quality engagement, that is regular and proactive, however, several respondents noted differences in engagement between different business units.

- 1.16 Just over half of respondents said that Network Rail engaged with them, during the last 12 months, on Control Period 7 (CP7) Strategic Business Planning (53%). This was highest for those who engaged with North West and Central (67%) or Eastern (67%) and drops to 51% for Southern.
- 1.17 Of those who engaged with Network Rail on CP7 planning, around two thirds said Network Rail provided sufficient information (67%) and timely opportunities to contribute their views (68%), whilst less than half (44%) said Network Rail informed them how the engagement was subsequently used.
- 1.18 However, the quality of engagement around CP7 Strategic Business Planning is rated less highly than business planning (41% good or very good). This varies by business unit with the highest levels of satisfaction reported by respondents who engaged with the Wales and Western business unit (60%). The business unit with the lowest proportion of respondents rating the quality of engagement as very good or good for CP7 strategic business planning is the Eastern business unit (40%).
- 1.19 General feedback on CP7 planning engagement is mixed, however, comments were generally critical of the engagement process, with a lack of time to respond to consultations being a key point raised – suggesting more forward planning would help make the outcome of such engagement more meaningful and actionable.

## Enhancements Delivery Plan engagement

- 1.20 Levels of engagement on the planning of railway enhancements over the last year is generally higher than for engagement on business planning. In particular, levels of engagement are high for respondents who have engaged with Eastern (65%), Scotland (64%), North West and Central (62%) and Wales and Western (60%). However, this falls to half for the System Operator (50%).
- 1.21 Overall, over nine-in-ten (91%) are aware of the Enhancements Delivery Plan (EDP); however just over a third (37%) say they have a strong (7%) or good (30%) awareness of it, suggesting a need for more engagement in this area.
- 1.22 The level of awareness of the EDP varies considerably by business unit with highest level of strong or good knowledge of the plan amongst respondents who have engaged with Network Rail Scotland (45%) and Eastern (45%), and the lowest amongst respondents who have engaged with Wales and Western (34%).
- 1.23 Under a fifth of respondents (17%) who are aware of the EDP said that it fully provides the information they need to plan their business and seven-in-ten (70%) feel it partially provides the information they need. However, just over one in ten (12%) feel it does not provide the required information at all (increasing to 16% for those who have engaged with Network Rail Scotland).

- 1.24 Of those who said the plan did not provide all of the information they need to plan their business, around half (49%) have discussed this with Network Rail. This increases to 64% of respondents who have engaged with Eastern and 59% of respondents who have engaged with the System Operator.
- 1.25 Around half (48%) of the respondents who discussed the EDP and the information they require to plan their business with Network Rail said that they were provided with additional information.
- 1.26 Across all respondents just over half (51%) feel that they have all the information about Network Rail's enhancements they need to plan their business, which means that almost half (49%) do not have all the information they need. For those who have engaged with Network Rail Scotland, this increases slightly to over three fifths (61%) who do not have all the information they need to plan their business.
- 1.27 When asked what further information they required from Network Rail to plan their business, frequent comments included: better information on planning timelines with more accurate dates, the need for information to be made available sooner, and for Network Rail to be more proactive in getting information to stakeholders.

### Business performance management engagement (Network Rail scorecards)

- 1.28 Overall, engagement with Network Rail in relation to scorecards during the last year is low with only around three-in-ten (29%) of respondents saying that they did.
- 1.29 Respondents who have engaged with Southern and Network Rail Scotland and those who engage at a general level report the lowest levels of engagement (at around a quarter saying yes). At the other end of the scale, two fifths or more of those who have engaged with the System Operator (44%) and Eastern (40%) say they engaged in relation to scorecards.
- 1.30 Around three fifths of those who said Network Rail engaged with them in relation to scorecards during the last 12 months said they were provided with sufficient information to inform their engagement (64%) and sufficient opportunity to contribute their views as part of the engagement process (57%). However, less than half (48%) said they were informed about how this engagement was used in the development of scorecards. Generally, those who have engaged with Eastern rated these three metrics higher, whilst those who have engaged with Network Rail Scotland rated them lower.
- 1.31 Over two fifths (45%) of those who said Network Rail engaged with them in relation to scorecards during the last 12 months rate the engagement as being very good or good. This rises to around two thirds for Wales and Western (64%) and falls to less than two fifths for Network Rail Scotland (36%).

- 1.32 It was noted by some respondents that scorecard engagement was late and it was a difficult process as different metrics are used, while others were critical of scorecards more broadly, saying they add no value to the running of the business.

### Overall quality of engagement with Network Rail

- 1.33 Over three fifths (62%) of respondents rate the overall quality of Network Rail's engagement with them over the last year as either very good or good. However, 14% felt the engagement was poor or very poor.

### Change in the quality of engagement with Network Rail

- 1.34 Two fifths (40%) of respondents think that the quality of Network Rail's engagement has improved or somewhat improved over the past year. Over two fifths (42%) think the quality of engagement has stayed the same, whilst 17% think that the quality of engagement has declined or somewhat declined.
- 1.35 Respondents who engaged with North West and Central (54%); Southern (51%) or Wales and Western (52%) were significantly more likely to think that Network Rail's engagement has improved over the past year.

## 2. Project overview

### Background to the project

- 2.1 The Office of Rail and Road (ORR) is responsible for ensuring that railway operators comply with health and safety law and regulates Network Rail's activities and funding requirements. Network Rail's network licence places emphasis on the quality of stakeholder engagement between Network Rail and its customers including train operators and other stakeholders (e.g. funders, suppliers, etc.).
- 2.2 Since 2020, ORR has annually reported on the quality of Network Rail's stakeholder engagement. It compares the performance of its five geographical regions— namely Eastern, North West and Central, Network Rail Scotland, Southern and Wales and Western; plus the System Operator (SO) business unit. The Freight and National Passenger Operators business unit which was recorded separately until 2021 now forms part of the System Operator.
- 2.3 As part of its annual assessment, ORR has carried out an annual independent online survey of Network Rail's stakeholders. In January 2022, ORR commissioned Opinion Research Services (ORS) to carry out the Year 3 of CP6 independent online survey element of the assessment, and in February 2023, ORR again commissioned ORS to carry out this part of the assessment for Year 4 of CP6. The Year 4 survey asks stakeholders to reflect on their engagement with Network Rail over the period 01 April 2022 to 31 March 2023 (Year 4 of Control Period 6).
- 2.4 This report presents the findings from this survey under the following main topic headings: About the stakeholders; Principles of good stakeholder engagement; Business planning engagement; Enhancements Delivery Plan engagement; Business performance management engagement; Summary. A copy of the questionnaire can be found in the appendix.

### The survey

#### Survey response

- 2.5 The survey was carried out online between 20<sup>th</sup> March 2023 and 30<sup>th</sup> April 2023.
- 2.6 To create the sample, ORR invited all of Network Rail's business units to submit stakeholder details by an agreed date. ORR cleaned the data submitted and removed duplicates to ensure each email address was only included once.
- 2.7 Using this sample, an open link to the survey was emailed out by ORR to 2,641 email addresses on 20<sup>th</sup> March and a further 59 addresses were emailed on 24<sup>th</sup> March (although a proportion of these were returned as undeliverable). Reminder emails were sent out on 4<sup>th</sup> April, 17<sup>th</sup>

April and 24<sup>th</sup> April (subject to pre-election period considerations). A link to the survey was also shared via ORR's LinkedIn account.

- 2.8 In total 319 responses were received, including partial responses where the respondent dropped out before completing the full survey (258 complete responses were received) – giving a response rate of 12%<sup>1</sup>.
- 2.9 This report shows the results based on all 319 responses; base numbers have been included on all charts to indicate the number of responses to each question.
- 2.10 The tables on the following pages show the profile characteristics of all respondents to the survey. Any value denoted by an asterisk (\*) represents a percentage which is less than 1%. Please note that the figures may not always sum to 100% due to rounding.

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<sup>1</sup> As the survey link was also shared on the ORR LinkedIn page, it is not possible to know the exact number of potential respondents and therefore the response rate is based on 319 responses from the 2,700 stakeholders emailed and should be treated as approximate.

**Table 1: Stakeholder group – All Respondents (Note: Figures may not sum due to rounding)**

Which stakeholder group do you belong to?	Number of respondents (unweighted count)	% of respondents (unweighted valid)
Passenger train industry	105	33
Freight industry	21	7
Rail industry supplier (or representative)	78	24
Infrastructure manager	8	3
Passenger representative	15	5
Public sector bodies	26	8
Elected representatives	11	3
Community Rail Partnership	30	9
Local Enterprise Partnership	4	1
Charity	3	1
Heritage body	7	2
Other - please specify	11	3
<b>Total</b>	<b>319</b>	<b>100</b>

**Table 2: Business unit – All Respondents (Note: Figures may not sum due to rounding)**

Which business unit did you primarily engage with during the year?	Number of respondents (unweighted count)	% of respondents (unweighted valid)
Eastern	58	18
North West and Central	38	12
Southern	39	12
Wales and Western	69	22
Network Rail Scotland	41	13
System Operator (including Freight and National Passenger Operators)	27	8
I engage with Network Rail at a general level	36	11
Other (as indicated previously)	11	3
<b>Total</b>	<b>319</b>	<b>100</b>

## Interpretation of the data

- 2.12 The survey was distributed by ORR to a range of Network Rail stakeholders where their email addresses were supplied by Network Rail. It is recognised that this does not include every individual, organisation and/or group meeting the definition of a stakeholder under Network Rail’s licence. However, it reflects a range of such stakeholders who are likely to have had recent engagement with Network Rail. Additionally, while the survey was emailed to a restricted list of contacts, it was also shared on ORR’s LinkedIn page, and therefore responses may have come from individuals, organisations or groups outside of this list.
- 2.13 As the survey cannot be considered to be fully representative of all stakeholders in statistical terms, the text refers to ‘respondents’ throughout the report, as opposed to ‘stakeholders’.
- 2.14 It should be remembered that, a sample, and not the entire population of Network Rail stakeholders, has been surveyed. In consequence, all results are subject to sampling tolerances, which means that not all differences are necessarily statistically significant. Where differences between sub-groups (i.e. business units or stakeholder groups) have been highlighted as significant, there is a 95% probability that the difference is real and not due to chance. Differences that are not said to be ‘significant’ or ‘statistically significant’ are indicative of a possible difference only.

- 2.15 Where possible, comparisons have been made with results from the Year 3 survey and noted in the text commentary where relevant. Only differences which are statistically different (at a 95% confidence level) are noted in the text. Results for Network Rail overall which are not significantly different when compared to the Year 3 survey will be said to be ‘in-line’; results for individual business units or stakeholder groups should be assumed to be in-line unless noted otherwise.
- 2.16 Where percentages do not sum to 100 and proportions of charts may not look equal, this is either due to rounding, the exclusion of ‘don’t know’ categories, or multiple answers.
- 2.17 In some cases, the grouped result referred to in the text, is not equal to that of the individual results (shown on the charts) which make up the group figure. This is due to rounding. For example, if the result for ‘very good’ is 25.6% and the result for ‘good’ is 40.7%, individually this gives rounded figures of 26% and 41% - which if simply added together would give 67%. However, the actual grouped result would be 66.3%, which rounds to 66%.
- 2.18 In some cases, figures of 2% or below have been excluded from charts for presentational reasons.
- 2.19 Owing to small base sizes when results are broken down into sub-groups on some questions, caution should be exercised when making inferences from these results. Throughout the report, wherever there is reference to results based on less than 20 responses, the number of respondents, as well as the proportion, is noted in the text commentary. Base numbers are included on all charts.
- 2.20 It is also important to note that where questions were asked about Network Rail overall only, and these results have subsequently been broken down by business unit engaged with, the sum of the base numbers for each business unit (shown on the charts) does not equal that of the total number of respondents. This is because while each respondent gave only one response, some respondents engaged with more than one business unit, and in these cases their response is included in the result for each business unit they have engaged with. A note has been included on all charts where this is relevant.
- 2.21 Where results have been shown in charts broken down by type of stakeholder, smaller groups of stakeholders (15 or less respondents) have been grouped together as ‘other’. The ‘other’ group includes infrastructure managers, passenger representatives, elected representatives, local enterprise partnerships, charities and heritage bodies as well as a small range of other stakeholder groups mentioned by one respondent only.

## Acknowledgements

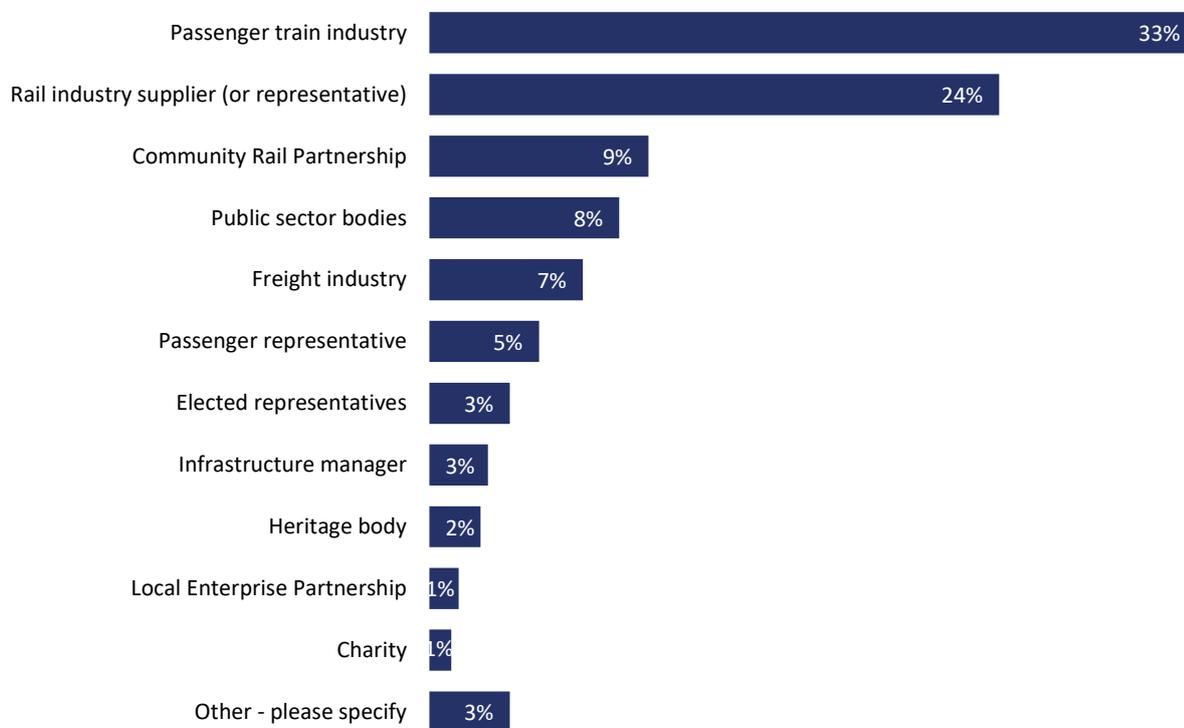
- 2.22 ORS would like to thank Lynn Armstrong, James Morgan, Dan Roberts and Stanley Johnson for their help and assistance. We would also like to thank the 319 people who took part in the survey, without whose valuable input the research would not have been possible.

## 3. About the stakeholders

### Stakeholder groups

3.1 Around a third (33%) of all respondents are in the passenger train industry, while around a quarter (24%) are a rail industry supplier (or representative). Around one in ten (9%) respondents are part of the Community Rail Partnership and 8% are a public sector body.

**Figure 1: Which stakeholder group do you belong to?**

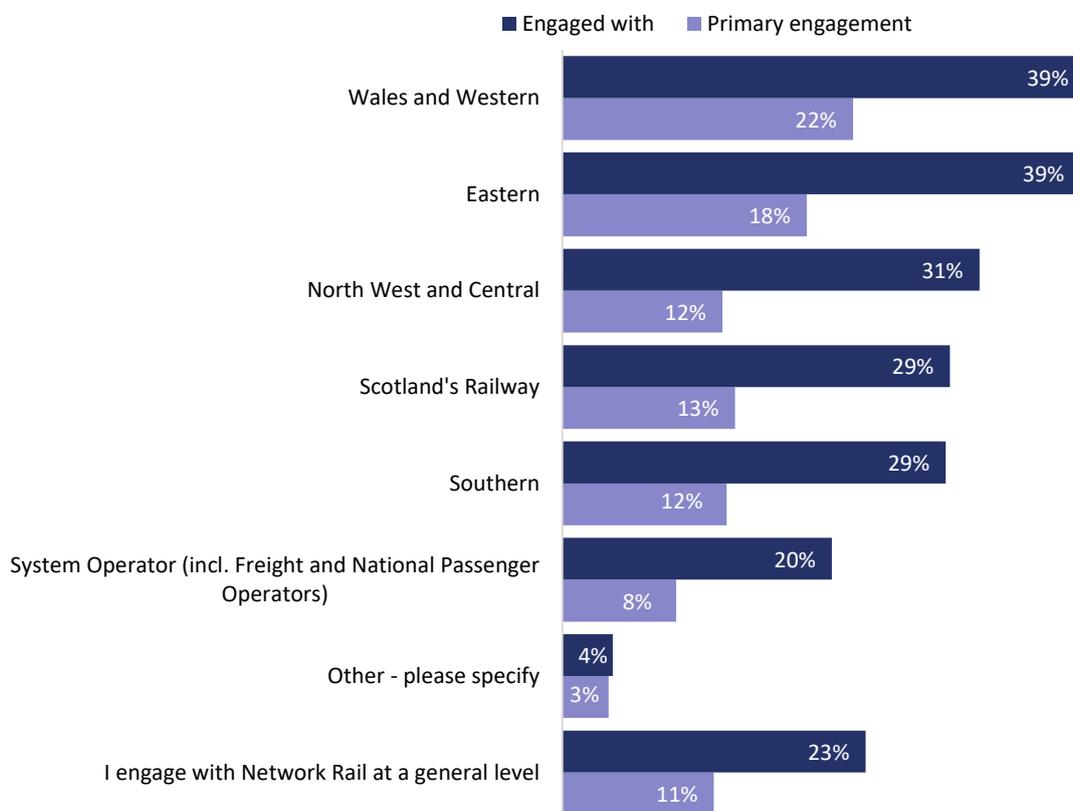


**Base: All Respondents – 319.**

## Parts of Network Rail engaged with

- 3.2 Figure 2 shows the business units of Network Rail respondents have engaged with at some point during the last year (01 April 2022 to 31 March 2023). Almost two fifths of respondents have engaged with the Wales and Western (39%) and Eastern (39%) regions of Network Rail in the last year; just under a third have engaged with the North West and Central region (31%).
- 3.3 Many engaged with more than one business unit during the last year, however in terms of primary engagement around a fifth of respondents have engaged mostly with Wales and Western (22%) and Eastern (18%). Around one in ten (11%) primarily engage with Network Rail at a general level.

**Figure 2: Which part(s) of Network Rail did you engage with over the last 12 months?**



**Base: All respondents: Engaged with – 319 (total number of responses – 677); Primary engagement – 319.**

## 4. Key findings by Business Unit

### Eastern

4.1 There were 123 responses from stakeholders who have engaged with the Eastern business unit overall. The bulk of these respondents are from within the passenger train industry (47 respondents), or rail industry suppliers (42 responses). The freight industry, public sector bodies, community rail partnerships, infrastructure managers, charities and passenger representatives are all represented within the Eastern business unit responses.

### Principles of good stakeholder engagement

4.2 Respondents were asked how they would rate Eastern's engagement with them regarding the principles of good stakeholder engagement. Of the respondents who have engaged with the Eastern business unit:

4.3 Almost seven-in-ten (69%) rate being **inclusive** as very good or good (69% Network Rail overall).

4.4 Almost three fifths (59%) rate being **effective** as very good or good (57% Network Rail overall).

4.5 Almost three fifths (57%) rate being **well-governed** as very good or good (51% Network Rail overall).

4.6 Almost three fifths (59%) rate being **transparent** as very good or good (52% Network Rail overall).

### Business planning engagement

4.7 Over half (51%) of respondents said Eastern engaged with them about its business planning during the last 12 months.

4.8 Around three fifths (59%) rate their engagement with Eastern about its business planning as very good or good (65% Network Rail overall).

### Control Period 7 (CP7) planning

4.9 Over two thirds (67%) of respondents said Eastern engaged with them about its CP7 Strategic Business Planning during the last year.

4.10 Over two thirds of respondents who engaged with Eastern on CP7 Strategic Business Planning said they provided sufficient information to inform their engagement (69%) and sufficient and

timely opportunities to contribute their views (68%), whilst over two fifths said they were informed how this engagement was subsequently used in the development of the CP7 Strategic Business Plan (46%).

- 4.11 Two fifths (40%) rate their engagement with Eastern about its CP7 Strategic Business Planning as very good or good (41% Network Rail overall).

### Enhancements Delivery Plan engagement

- 4.12 Around two thirds (65%) of respondents said Eastern engaged with them on the planning of railway enhancements during the last 12 months.
- 4.13 Over nine in ten (95%) of respondents who have engaged with Eastern are aware of the Enhancements Delivery Plan (91% Network Rail overall); however less than half (45%) said they have a strong or good awareness of it (37% Network Rail overall).
- 4.14 Less than a fifth (16%) of the respondents who are aware of the Enhancements Delivery Plan said that it fully provides the information they need to plan their business; three quarters (75%) feel it partially provides the information they need but 9% feel it doesn't provide the required information at all (17%, 70%, 12% respectively for Network Rail overall).
- 4.15 Of those who said the plan did not provide all of the information they need to plan their business, around two thirds (64%) said they have discussed this with Network Rail (49% Network Rail overall); and around two fifths (42%) said that Network Rail provided them with additional information (48% Network Rail overall).
- 4.16 Overall, over two fifths (45%) of respondents who have engaged with Eastern feel that they have all the information about Network Rail's enhancements they need to plan their business (51% Network Rail overall).

### Business performance management engagement (Network Rail scorecards)

- 4.17 Two fifths (40%) of respondents said that the Eastern business unit engaged with them in relation to scorecards during the last 12 months.
- 4.18 Of those who said the Eastern business unit engaged with them in relation to scorecards during the last 12 months, around three quarters (73%) said they were provided with sufficient information to inform their engagement, over three fifths (63%) said they were provided with sufficient opportunity to contribute their views and over half (54%) were informed how this engagement was used in the development of scorecards.
- 4.19 Around half (52%) rate their engagement with Eastern about scorecards as very good or good (45% Network Rail overall).

### Summary

- 4.20 Two thirds (66%) of respondents who have engaged with Eastern rate the overall quality of Network Rail’s engagement with them over the last year as either very good (16%) or good (50%) (62% Network Rail overall). Less than one in ten (8%) feel that the overall quality of engagement was poor.
- 4.21 Over two fifths (46%) of respondents who have engaged with Eastern think that the quality of Network Rail’s engagement has improved or somewhat improved over the past year (40% Network Rail overall), while a further 42% think the quality of engagement has stayed the same. Just over one in ten (13%) think that the quality of engagement has declined or somewhat declined.

## North West and Central

- 4.22 There were 99 responses from stakeholders who have engaged with the North West and Central business unit overall. The bulk of these respondents are from within the passenger train industry, or rail industry suppliers (both 36 responses). The freight industry, community rail partnerships, infrastructure managers, charities, public sector bodies, elected representatives and passenger representatives are all represented within the North West and Central business unit responses.

## Principles of good stakeholder engagement

- 4.23 Respondents were asked how they would rate North West and Central’s engagement with them regarding the principles of good stakeholder engagement. Of the respondents who have engaged with the North West and Central business unit:
- 4.24 More than seven-in-ten (72%) rate being **inclusive** as very good or good (69% Network Rail overall).
- 4.25 Over three fifths (63%) rate being **effective** as very good or good (57% Network Rail overall).
- 4.26 Over half (56%) rate being **well-governed** as very good or good (51% Network Rail overall).
- 4.27 Three fifths (60%) rate being **transparent** as very good or good (52% Network Rail overall).

## Business planning engagement

- 4.28 Around three fifths (57%) of respondents said North West and Central engaged with them about its business planning during the last 12 months.
- 4.29 Three fifths (60%) rate their engagement with North West and Central about its business planning as very good or good (65% Network Rail overall).

## Control Period 7 (CP7) planning

- 4.30 Over two thirds (67%) of respondents said North West and Central engaged with them about its Control Period 7 Strategic Business Planning during the last year.
- 4.31 Over two thirds of respondents who engaged with North West and Central on Control Period 7 Strategic Business Planning said they provided sufficient information to inform their engagement (67%) and sufficient and timely opportunities to contribute their views (74%), whilst around half said they were informed how this engagement was subsequently used in the development of the CP7 Strategic Business Plan (51%).
- 4.32 Over two fifths (44%) rate their engagement with North West and Central about its Control Period 7 Strategic Business Planning as very good or good (41% Network Rail overall).

## Enhancements Delivery Plan engagement

- 4.33 Over three fifths (62%) of respondents said North West and Central engaged with them on the planning of railway enhancements during the last year.
- 4.34 Over nine in ten (94%) respondents who have engaged with North West and Central are aware of the Enhancements Delivery Plan (91% Network Rail overall); however just over two fifths (44%) said they have a strong or good awareness of it (37% Network Rail overall).
- 4.35 Less than a fifth (16%) of the respondents who are aware of the Enhancements Delivery Plan said that it fully provides the information they need to plan their business. Around seven-in-ten (71%) feel it partially provides the information they need but 13% feel it doesn't provide the required information at all (17%, 70%, 12% respectively for Network Rail overall).
- 4.36 Of those who said the plan did not provide all of the information they need to plan their business, around half (47%) said they have discussed this with Network Rail (49% Network Rail overall); and a third of these (33%) said that Network Rail provided them with additional information (48% Network Rail overall).
- 4.37 Overall, two fifths (40%) of respondents who have engaged with North West and Central feel that they have all the information about Network Rail's enhancements they need to plan their business (51% Network Rail overall).

## Business performance management engagement (Network Rail scorecards)

- 4.38 Around two fifths (37%) of respondents said North West and Central business unit engaged with them in relation to scorecards during the last 12 months.
- 4.39 Of those who said the North West and Central business unit engaged with them in relation to scorecards during the last 12 months, around three fifths said they were provided with sufficient information to inform their engagement (58%), provided with sufficient opportunity to contribute their views (61%) and informed how this engagement was used in the development of scorecards (57%).
- 4.40 Around three fifths (59%) rate their engagement with North West and Central about scorecards as very good or good (45% Network Rail overall).

## Summary

- 4.41 Seven-in-ten (70%) respondents who have engaged with the North West and Central business unit rate the overall quality of Network Rail’s engagement with them over the last year as either very good (19%) or good (50%) (62% Network Rail overall). Over one in ten (13%) feel that the overall quality of engagement was poor.
- 4.42 Over half (54%) of respondents who engaged with North West and Central think that the quality of Network Rail’s engagement has improved or somewhat improved over the past year – this is significantly higher than the rating for Network Rail overall (40%), while a further 28% think the quality of engagement has stayed the same. Around a fifth (19%) think that the quality of engagement has declined or somewhat declined.

## Southern

- 4.43 There were 91 responses from stakeholders who have engaged with the Southern business unit overall. Over half of these respondents are from rail industry suppliers (29 responses) and the passenger train industry (18 respondents). The freight industry, community rail partnerships, passenger representatives, public sector bodies, charities, elected representatives and local enterprise partnerships are all represented within the Southern business unit responses.

## Principles of good stakeholder engagement

- 4.44 Respondents were asked how they would rate Southern’s engagement with them regarding the principles of good stakeholder engagement. Of the respondents who have engaged with the Southern business unit:
- 4.45 Over seven-in-ten (72%) rate being **inclusive** as very good or good (69% Network Rail overall).
- 4.46 Around two thirds (65%) rate being **effective** as very good or good (57% Network Rail overall).

- 4.47 Almost three fifths (58%) rate being **well-governed** as very good or good (51% Network Rail overall).
- 4.48 Almost three fifths (59%) rate being **transparent** as very good or good (52% Network Rail overall).

### Business planning engagement

- 4.49 Around two fifths (41%) of respondents said Southern engaged with them about its business planning during the last 12 months.
- 4.50 Almost two thirds (64%) rate their engagement with Southern about its business planning as very good or good (65% Network Rail overall).

### Control Period 7 (CP7) planning

- 4.51 Just over half (51%) of respondents said Southern engaged with them about its Control Period 7 Strategic Business Planning during the last year.
- 4.52 Over three quarters of respondents who engaged with Southern on CP7 Strategic Business Planning said they provided sufficient information to inform their engagement (85%) and sufficient and timely opportunities to contribute their views (76%), whilst over two fifths said they were informed how this engagement was subsequently used in the development of the CP7 Strategic Business Plan (46%).
- 4.53 Around half (49%) rate their engagement with Southern about its CP7 Strategic Business Planning as very good or good (41% Network Rail overall).

### Enhancements Delivery Plan engagement

- 4.54 Around three fifths (57%) of respondents said Southern engaged with them on the planning of railway enhancements during the last year.
- 4.55 Over nine-in-ten (93%) respondents who have engaged with Southern are aware of the Enhancements Delivery Plan (91% Network Rail overall); however just over two fifths (43%) said they have a strong or good awareness of it (37% Network Rail overall).
- 4.56 Around a fifth (17%) of the respondents who are aware of the Enhancements Delivery Plan said that it fully provides the information they need to plan their business. Around seven-in-ten (69%) feel it partially provides the information they need but 14% feel it doesn't provide the required information at all (17%, 70%, 12% respectively for Network Rail overall).
- 4.57 Of those who said the plan did not provide all of the information they need to plan their business, around half (47%) said they have discussed this with Network Rail (49% Network Rail

overall); and over a third (35%) said that Network Rail provided them with additional information (48% Network Rail overall).

- 4.58 Overall, over half (45%) of respondents who have engaged with Southern feel they have all the information about Network Rail’s enhancements they need to plan their business (51% Network Rail overall).

### Business performance management engagement (Network Rail scorecards)

- 4.59 Just over a fifth (22%) of respondents said Southern business unit engaged with them in relation to scorecards during the last 12 months.
- 4.60 Of those who said the Southern business unit engaged with them in relation to scorecards during the last 12 months, around half said they were provided with sufficient information to inform their engagement (54% – 7 out of 13 respondents), sufficient opportunity to contribute their views (50% – 6 out of 12 respondents) and were informed how this engagement was used in the development of scorecards (45% – 5 out of 11 respondents).
- 4.61 Over two fifths (45% - 5 out of 11 respondents) rate their engagement with Southern about scorecards as very good or good (45% Network Rail overall).

### Summary

- 4.62 Over three fifths (61%) of respondents who have engaged with Southern rate the overall quality of Network Rail’s engagement with them over the last year as either very good (16%) or good (45%) – (62% Network Rail overall). Almost a fifth (19%) feel that the overall quality of engagement was poor (15%) or very poor (4%).
- 4.63 Over half (51%) of respondents who engaged with Southern think that the quality of Network Rail’s engagement has improved or somewhat improved over the past year (40% Network Rail overall), while a further 32% think the quality of engagement has stayed the same. Around a fifth (17%) think that the quality of engagement has declined or somewhat declined.

### Wales and Western

- 4.64 There were 124 responses from stakeholders who have engaged with the Wales and Western business unit overall. Over half of these respondents are from rail industry suppliers (40 responses) and the passenger train industry (34 respondents). The freight industry, public sector bodies, community rail partnerships, heritage bodies, passenger representatives, elected representatives, infrastructure managers, charities and local enterprise partnerships are all represented within the Wales and Western business unit responses.

### Principles of good stakeholder engagement

- 4.65 Respondents were asked how they would rate Wales and Western’s engagement with them regarding the principles of good stakeholder engagement. Of the respondents who have engaged with the Wales and Western business unit:
- 4.66 Over seven-in-ten (71%) rate being **inclusive** as very good or good (69% Network Rail overall).
- 4.67 Over three fifths (62%) rate being **effective** as very good or good (57% Network Rail overall).
- 4.68 Around half (52%) rate being **well-governed** as very good or good (51% Network Rail overall).
- 4.69 Over half (55%) rate being **transparent** as very good or good (52% Network Rail overall).

### Business planning engagement

- 4.70 Over half (53%) of respondents said Wales and Western engaged with them about its business planning during the last 12 months.
- 4.71 Almost three quarters (73%) rate their engagement with Wales and Western about its business planning as very good or good (65% Network Rail overall).

### Control Period 7 (CP7) planning

- 4.72 Over three fifths (63%) of respondents said Wales and Western engaged with them about its Control Period 7 Strategic Business Planning during the last year.
- 4.73 Over four fifths of respondents who engaged with Wales and Western on Control Period 7 Strategic Business Planning said they provided sufficient information to inform their engagement (86%) and sufficient and timely opportunities to contribute their views (81%), whilst around two thirds said they were informed how this engagement was subsequently used in the development of the CP7 Strategic Business Plan (65%).
- 4.74 Three fifths (60%) rate their engagement with Wales and Western about its Control Period 7 Strategic Business Planning as very good or good (41% Network Rail overall).

### Enhancements Delivery Plan engagement

- 4.75 Three fifths (60%) of respondents said Wales and Western engaged with them on the planning of railway enhancements during the last year.
- 4.76 Over nine-in-ten (95%) respondents who have engaged with Wales and Western are aware of the Enhancements Delivery Plan (91% Network Rail overall); however only around a third (34%) said they have a strong or good awareness of it (37% Network Rail overall).
- 4.77 Less than a fifth (16%) of these respondents who are aware of the Enhancements Delivery Plan said that it fully provides the information they need to plan their business. Seven-in-ten (70%)

feel it partially provides the information they need but 14% feel it doesn't provide the required information at all (17%, 70%, 12% respectively for Network Rail overall).

- 4.78 Of those who said the plan did not provide all of the information they need to plan their business, over half (56%) said they have discussed this with Network Rail (49% Network Rail overall); and two fifths of these (40%) said that Network Rail provided them with additional information (48% Network Rail overall).
- 4.79 Overall, around half (49%) of respondents who have engaged with Wales and Western feel that they have all the information about Network Rail's enhancements they need to plan their business (51% Network Rail overall).

### Business performance management engagement (Network Rail scorecards)

- 4.80 Around a third (32%) of respondents said that the Wales and Western business unit engaged with them in relation to scorecards during the last 12 months.
- 4.81 Of those who said the Wales and Western business unit engaged with them in relation to scorecards during the last 12 months, over seven-in-ten (71%) said they were provided with sufficient information to inform their engagement, whilst around three fifths said they were provided with sufficient opportunity to contribute their views (59%) and informed how this engagement was used in the development of scorecards (58%).
- 4.82 Almost two thirds (64%) rate their engagement with Wales and Western about scorecards as very good or good (45% Network Rail overall).

### Summary

- 4.83 Over three fifths (63%) of respondents who have engaged with Wales and Western rate the overall quality of Network Rail's engagement with them over the last year as either very good (16%) or good (47%) – (62% Network Rail overall). 12% feel that the overall quality of engagement was poor (10%) or very poor (2%).
- 4.84 Around half (52%) of respondents who engaged with Wales and Western think that the quality of Network Rail's engagement has improved or somewhat improved over the past year – this is significantly higher than for Network Rail overall (40%), while a further 32% think the quality of engagement has stayed the same. 16% think that the quality of engagement has declined or somewhat declined.

### Network Rail Scotland

- 4.85 There were 92 responses from stakeholders who have engaged with the Network Rail Scotland business unit overall. The bulk of these respondents are from rail industry suppliers (44 responses) and the passenger train industry (18 respondents). The freight industry, public sector bodies, community rail partnerships, passenger representatives, elected

representatives, infrastructure managers, and charities are all represented within the Network Rail Scotland business unit responses.

### Principles of good stakeholder engagement

- 4.86 Respondents were asked how they would rate Network Rail Scotland’s engagement with them regarding the principles of good stakeholder engagement. Of the respondents who have engaged with the Network Rail Scotland business unit:
- 4.87 Around two thirds (67%) rate being **inclusive** as very good or good (69% Network Rail overall).
- 4.88 Over two thirds (68%) rate being **effective** as very good or good (57% Network Rail overall).
- 4.89 Over three fifths (62%) rate being **well-governed** as very good or good (51% Network Rail overall).
- 4.90 Over half (54%) rate being **transparent** as very good or good (52% Network Rail overall).

### Business planning engagement

- 4.91 Over two fifths (45%) of respondents said Network Rail Scotland engaged with them about its business planning during the last 12 months.
- 4.92 Over four fifths (85%) rate their engagement with Network Rail Scotland about its business planning as very good or good (65% Network Rail overall).

### Control Period 7 (CP7) planning

- 4.93 Over half (55%) of respondents said that the Network Rail Scotland business unit engaged with them about its Control Period 7 Strategic Business Planning during the last year.
- 4.94 Two thirds or more of respondents who engaged with Network Rail Scotland on Control Period 7 Strategic Business Planning said they provided sufficient information to inform their engagement (66%) and sufficient and timely opportunities to contribute their views (69%), whilst around two fifths said they were informed how this engagement was subsequently used in the development of the CP7 Strategic Business Plan (39%).
- 4.95 Over two fifths (45%) rate their engagement with Network Rail Scotland about its Control Period 7 Strategic Business Planning as very good or good (41% Network Rail overall).

### Enhancements Delivery Plan engagement

- 4.96 Around two thirds (64%) of respondents said that Network Rail Scotland engaged with them on the planning of railway enhancements during the last year.

- 4.97 Over nine-in-ten (95%) respondents who have engaged with Network Rail Scotland are aware of the Enhancements Delivery Plan (91% Network Rail overall); with over two fifths (45%) having a strong or good awareness of it (37% Network Rail overall).
- 4.98 Around one in ten (13%) respondents who are aware of the Enhancements Delivery Plan said that it fully provides the information they need to plan their business, over seven-in-ten (71%) feel it partially provides the information they need but 16% feel it doesn't provide the required information at all (17%, 70%, 12% respectively for Network Rail overall).
- 4.99 Of those who said the plan did not provide all of the information they need to plan their business, over two fifths (46%) said they have discussed this with Network Rail (49% Network Rail overall); and around a quarter (23%) said that Network Rail provided them with additional information (48% Network Rail overall).
- 4.100 Overall, almost two fifths (39%) of respondents who have engaged with Network Rail Scotland feel that they have all the information about Network Rail's enhancements they need to plan their business (51% Network Rail overall).

### Business performance management engagement (Network Rail scorecards)

- 4.101 Just over a quarter (27%) of respondents said Network Rail Scotland business unit engaged with them in relation to scorecards during the last 12 months.
- 4.102 Of those who said the Network Rail Scotland business unit engaged with them in relation to scorecards during the last 12 months, over half (56% - 9 out of 16 respondents) said they were provided with sufficient information to inform their engagement, whilst a third (33% - 5 out of 13 respondents) said they were provided with sufficient opportunity to contribute their views and were informed how this engagement was used in the development of scorecards.
- 4.103 Over a third (36% - 5 out of 14 respondents) rate their engagement with Network Rail Scotland about scorecards as very good or good (45% Network Rail overall).

### Summary

- 4.104 Over half (56%) of respondents who have engaged with Network Rail Scotland rate the overall quality of Network Rail's engagement with them over the last year as either very good (13%) or good (43%) – (62% Network Rail overall). Around a fifth (17%) feel that the overall quality of engagement was poor (11%) or very poor (6%).
- 4.105 Around two fifths (37%) of respondents who engaged with Network Rail Scotland think that the quality of Network Rail's engagement has improved or somewhat improved over the past year (40% Network Rail overall), while a further 45% think the quality of engagement has stayed the same. Around a fifth (18%) think that the quality of engagement has declined or somewhat declined.

## System Operator

4.106 There were 64 responses from stakeholders who have engaged with the System Operator business unit overall. The bulk of these respondents are from within the passenger train industry (34 respondents) and the freight industry (12 respondents). Rail industry suppliers, public sector bodies, infrastructure managers, community rail partnerships, and passenger representatives are all represented within the System Operator business unit responses.

### Principles of good stakeholder engagement

4.107 Respondents were asked how they would rate the System Operator's engagement with them regarding the principles of good stakeholder engagement. Of the respondents who have engaged with the System Operator business unit:

4.108 Over three fifths (63%) rate being **inclusive** as very good or good (69% Network Rail overall).

4.109 Over three fifths (63%) rate being **effective** as very good or good (57% Network Rail overall).

4.110 Over three fifths (61%) rate being **well-governed** as very good or good (51% Network Rail overall).

4.111 Over three fifths (63%) rate being **transparent** as very good or good (52% Network Rail overall).

### Business planning engagement

4.112 Over two fifths (44%) of respondents said that the System Operator engaged with them about its business planning during the last 12 months.

4.113 Over four fifths (82% - 14 out of 17 respondents) rate their engagement with the System Operator about its business planning as very good or good (65% Network Rail overall).

### Control Period 7 (CP7) planning

4.114 Around two thirds (65%) of respondents said the System Operator engaged with them about its Control Period 7 Strategic Business Planning during the last year.

4.115 Over three fifths of respondents who engaged with the System Operator on Control Period 7 Strategic Business Planning said they provided sufficient information to inform their engagement (61%) and sufficient and timely opportunities to contribute their views (70%), whilst half said they were informed how this engagement was subsequently used in the development of the CP7 Strategic Business Plan (50%).

4.116 Over two fifths (46%) rate their engagement with the System Operator about its Control Period 7 Strategic Business Planning as very good or good (41% Network Rail overall) – this is the lowest score across all business units.

## Enhancements Delivery Plan engagement

- 4.117 Half (50%) of respondents said the System Operator engaged with them on the planning of railway enhancements during the last year.
- 4.118 Over nine-in-ten (92%) respondents who have engaged with the System Operator are aware of the Enhancements Delivery Plan (91% Network Rail overall); however only around two fifths (41%) said they have a strong or good awareness of it (37% Network Rail overall).
- 4.119 Over a fifth (22%) of these respondents who are aware of the Enhancements Delivery Plan said that it fully provides the information they need to plan their business. Around three quarters (73%) feel it partially provides the information they need but 5% feel it doesn't provide the required information at all (17%, 70%, 12% respectively for Network Rail overall).
- 4.120 Of those who said the plan did not provide all of the information they need to plan their business, almost three fifths (59%) said they have discussed this with Network Rail (49% Network Rail overall); and just over a half (53% - 9 out of 17 respondents) said that Network Rail provided them with additional information (48% Network Rail overall).
- 4.121 Overall, over half (53%) of respondents who have engaged with the System Operator feel that they have all the information about Network Rail's enhancements they need to plan their business (51% Network Rail overall).

## Business performance management engagement (Network Rail scorecards)

- 4.122 Over two fifths (44%) of respondents said the System Operator engaged business unit engaged with them in relation to scorecards during the last 12 months.
- 4.123 Of those who said the System Operator business unit engaged with them in relation to scorecards during the last 12 months, around three fifths said they were provided with sufficient information to inform their engagement (58% - 11 out of 19 respondents) and sufficient opportunity to contribute their views (63% - 10 out of 16 respondents), whilst around half (53% - 9 out of 17 respondents) were informed how this engagement was used in the development of scorecards.
- 4.124 Half (50% - 8 out of 16 respondents) rate their engagement with the System Operator about scorecards as very good or good (45% Network Rail overall).

## Summary

- 4.125 Over three fifths (62%) of respondents who have engaged with the System Operator rate the overall quality of Network Rail's engagement with them over the last year as either very good (12%) or good (50%) – (62% Network Rail overall). 4% feel that the overall quality of engagement was poor.

<sup>4.126</sup> Around half (47%) of respondents who engaged with the System Operator think that the quality of Network Rail’s engagement has improved or somewhat improved over the past year – (40% Network Rail overall), while a further 39% think the quality of engagement has stayed the same. 14% think that the quality of engagement has declined or somewhat declined.

## 5. Principles of good stakeholder engagement

5.1 As a condition of its licence, ORR requires Network Rail to meet the following four principles of stakeholder engagement: **inclusive; effective; well-governed; and transparent**. Respondents were asked to rate Network Rail’s engagement with them, for each business unit they engaged with, regarding each of the four principles.

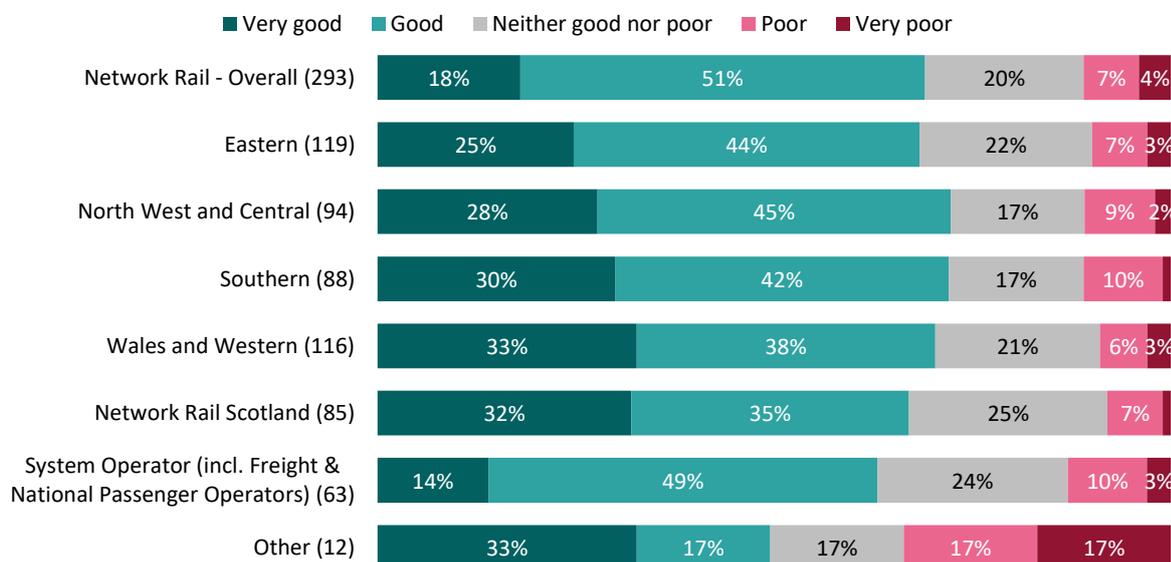
### Inclusive

5.2 ORR defines the principle of being **inclusive** as engagement which seeks to involve all relevant stakeholders in a fair and proportionate manner, including by adopting different approaches to reflect stakeholders’ different capabilities and interests.

5.3 Figure 3 below shows that around seven in ten (69%) respondents rate Network Rail’s overall engagement with them regarding the principle of being **inclusive** as very good (18%) or good (51%). This is in-line with 2022 results (63% very good or good overall).

5.4 When rating individual business units, seven in ten or more respondents who have engaged with North West and Central (72%), Southern (72%) and Wales and Western (71%) rate the engagement regarding the principle of being **inclusive** as very good or good. This compares to just over three fifths of respondents who have engaged with the System Operator (63%).

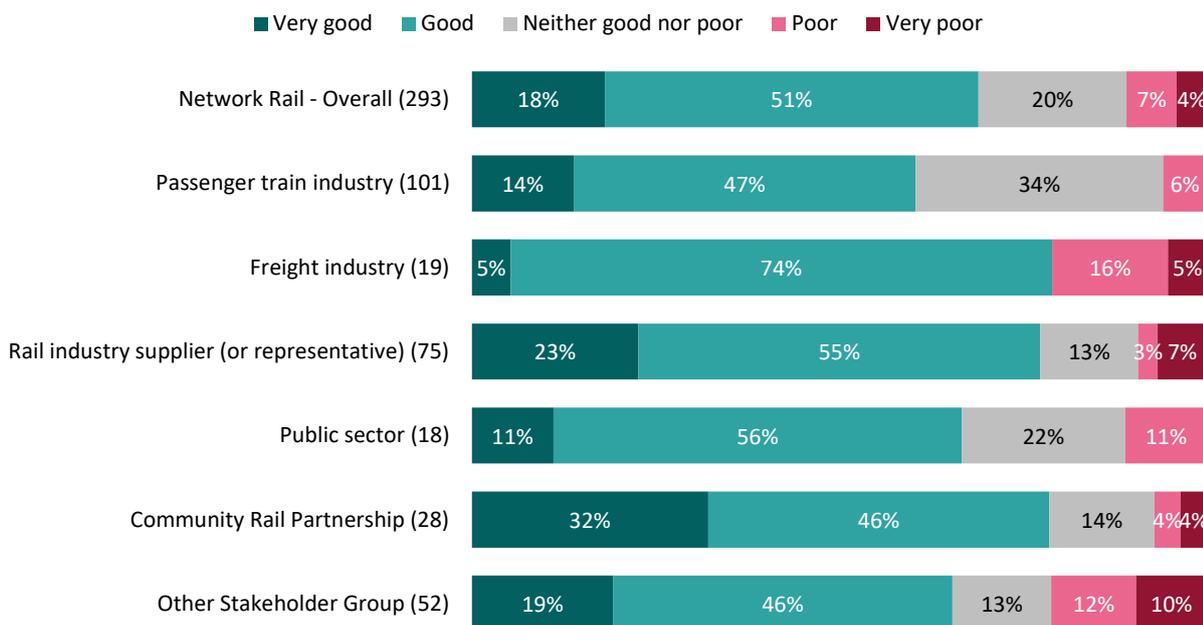
**Figure 3: In your opinion, how would you rate Network Rail’s engagement with you regarding the principle of being Inclusive? Please rate the following parts of Network Rail you engaged with.**



**Base: All Respondents – Number of respondents in each business unit shown in brackets.**

- 5.5 Figure 4 below shows how respondents rate their engagement with Network Rail overall regarding the principle of being **inclusive** broken down by stakeholder group. It can be seen that while around four fifths of those in the freight industry (79% - 15 of 19 respondents) and Community Rail Partnership (79%) rate this as very good or good, this is the case for only three fifths (60%) of respondents in the passenger train industry.

**Figure 4: In your opinion, how would you rate Network Rail’s engagement with you regarding the principle of being Inclusive? Network Rail – Overall, breakdown by stakeholder group.**

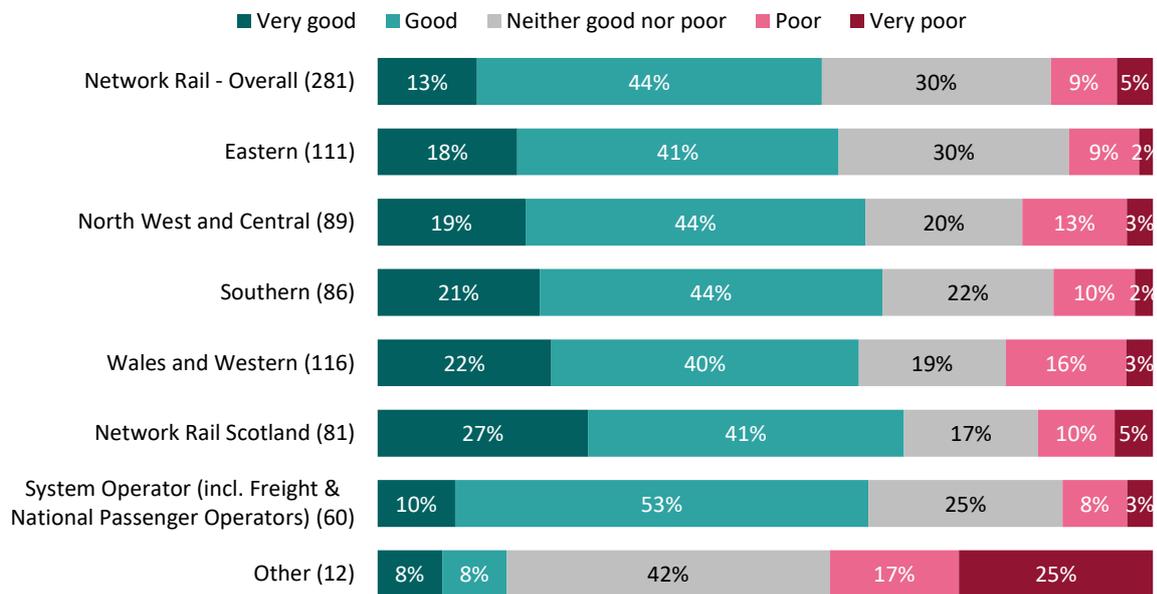


**Base: All Respondents – Number of respondents in each stakeholder group shown in brackets.**

## Effective

- 5.6 ORR defines the principle of being **effective** as engagement which supports delivery of a safer, more efficient and better used rail network, including by ensuring that stakeholders' views are duly taken into account.
- 5.7 Figure 5 shows that over half (57%) of respondents rate Network Rail’s overall engagement with them regarding the principle of being **effective** as very good (13%) or good (44%). This is in-line with the Year 3 results (54% very good or good overall).
- 5.8 When rating individual business units, around two thirds of respondents who have engaged with Network Rail Scotland (68%) and Southern (65%) rate the effectiveness of engagement as being very good or good. The proportion of respondents rating the effectiveness of engagement as very good or good falls to 59% for Eastern.

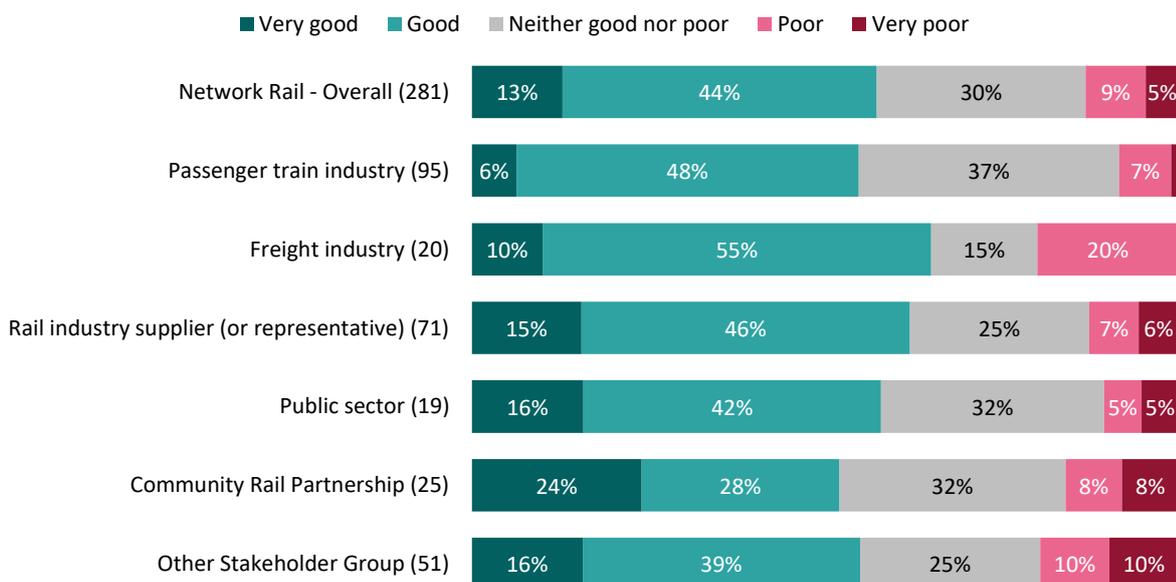
**Figure 5: In your opinion, how would you rate Network Rail’s engagement with you regarding the principle of being Effective? Please rate the following parts of Network Rail you engaged with.**



**Base: All Respondents – Number of respondents in each business unit shown in brackets.**

5.9 Figure 6 below shows how respondents rate their engagement with Network Rail overall regarding the principle of being **effective** broken down by stakeholder group. It can be seen that over three fifths of those in the freight industry (65%) and rail industry suppliers (62%) rate this as very good or good, while this is the case for around half of respondents (52%) who are in a Community Rail Partnership.

**Figure 6: In your opinion, how would you rate Network Rail’s engagement with you regarding the principle of being Effective? Network Rail – overall, breakdown by stakeholder group.**

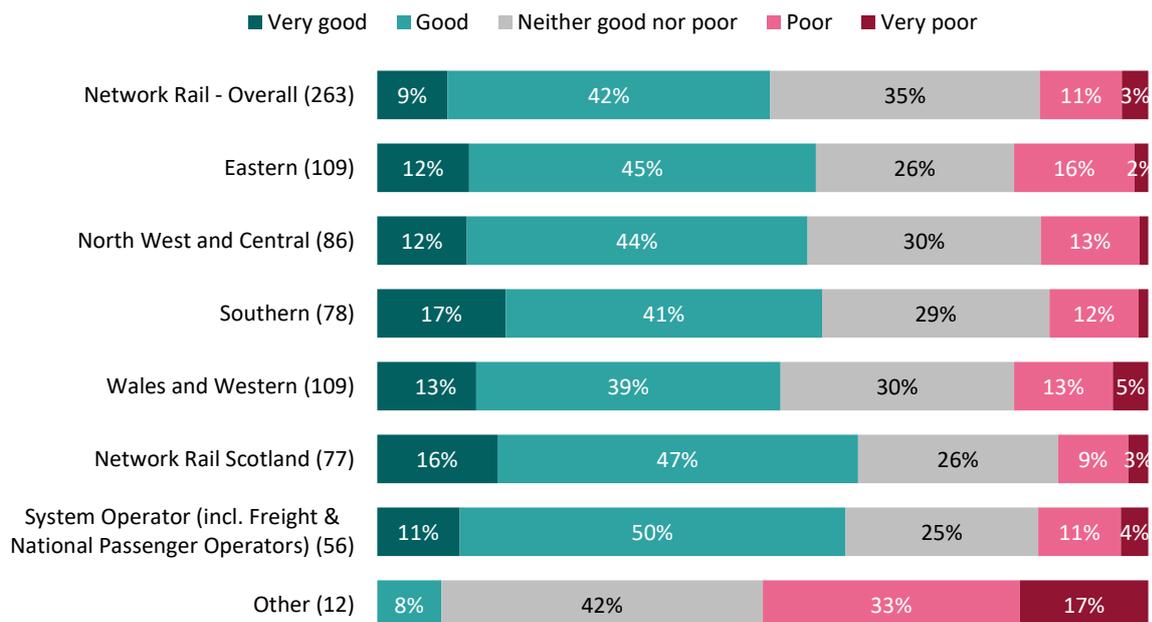


**Base: All Respondents – Number of respondents in each stakeholder group shown in brackets.**

## Well-governed

- 5.10 ORR define the principle of being **well-governed** as engagement that is underpinned by effective processes and governance arrangements that encourage meaningful engagement.
- 5.11 Around half (51%) of respondents rate Network Rail’s overall engagement with them regarding the principle of being **well-governed** as very good (9%) or good (42%). This is in-line with the Year 3 results (49% very good or good overall).
- 5.12 When rating individual business units, over three fifths of respondents who have engaged with Network Rail Scotland (62%) and the System Operator (61%) rate engagement with this business unit regarding the principle of being **well-governed** as very good or good, compared to around half (52%) for Wales and Western.

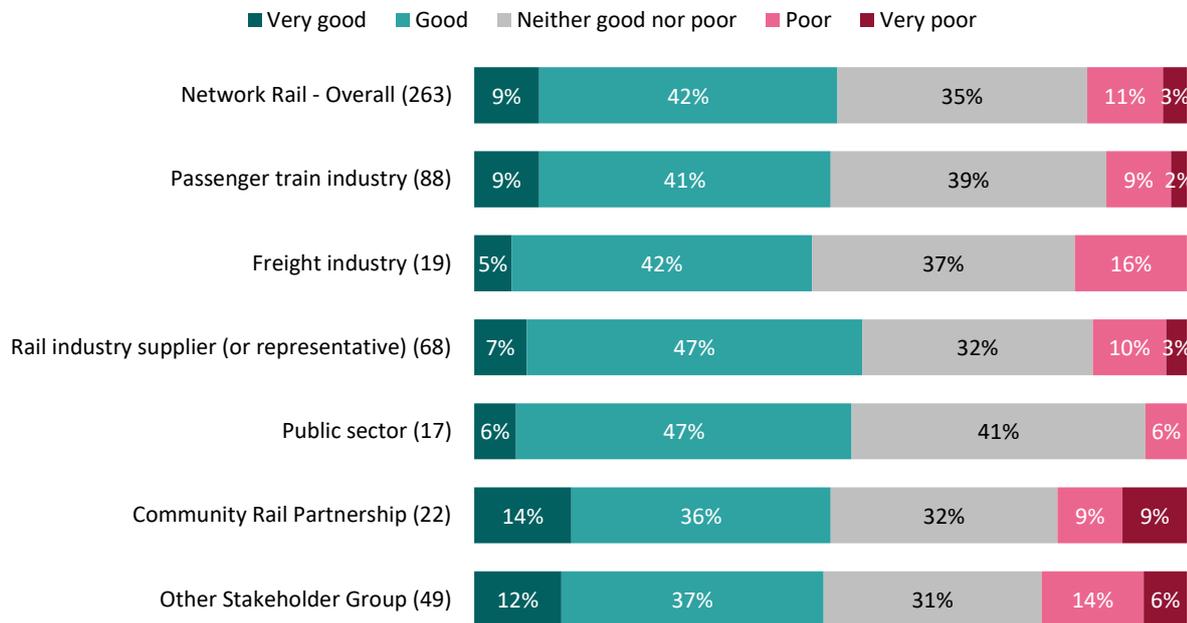
**Figure 7: In your opinion, how would you rate Network Rail’s engagement with you regarding the principle of being Well-governed? Please rate the following parts of Network Rail you engaged with.**



**Base: All Respondents – Number of respondents in each business unit shown in brackets.**

- 5.13 Figure 8 shows how respondents rate their engagement with Network Rail overall regarding the principle of being **well-governed** broken down by stakeholder group. It can be seen that while over half (54%) of rail industry suppliers rate this as very good or good, this is the case for less than half of those in the freight industry (47% - nine of out 19 respondents).

**Figure 8: In your opinion, how would you rate Network Rail’s engagement with you regarding the principle of being Well-governed? Network Rail – overall, breakdown by stakeholder group.**

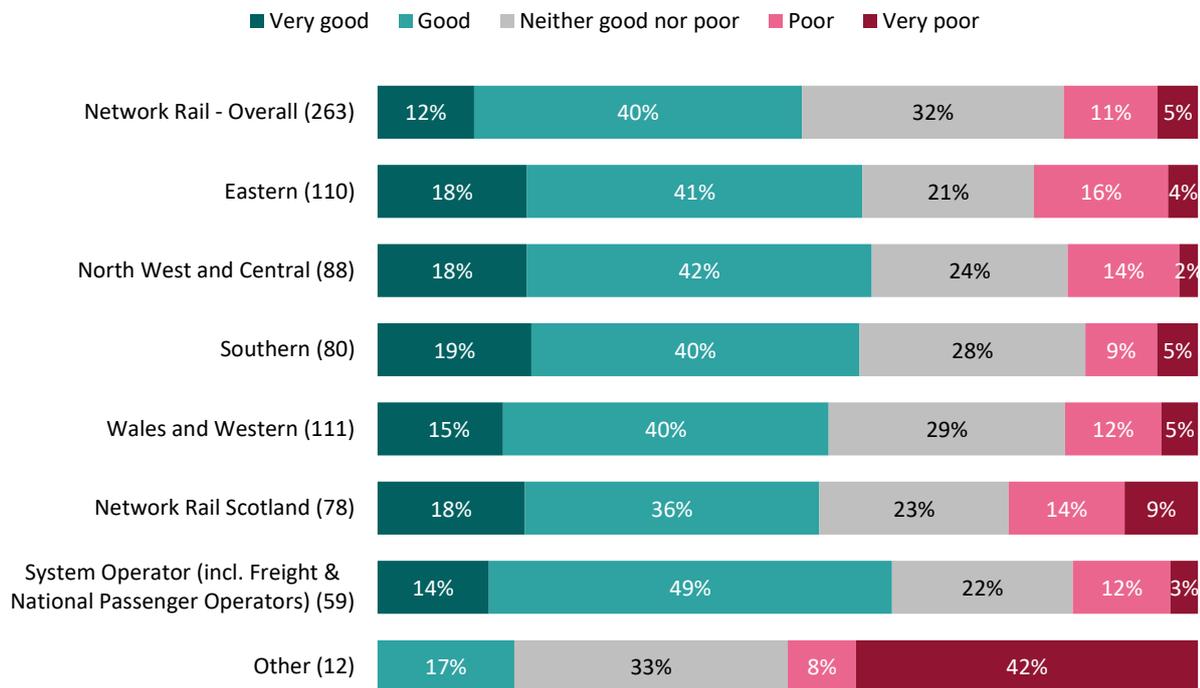


**Base: All Respondents – Number of respondents in each stakeholder group shown in brackets.**

## Transparent

- 5.14 ORR defines the principle of being **transparent** as sufficient information is made available to enable effective engagement with stakeholders.
- 5.15 Figure 9 shows that around half (52%) of respondents rate Network Rail’s overall engagement with them regarding the principle of being **transparent** as very good (12%) or good (40%). This is in-line with the Year 3 results (46% very good or good overall).
- 5.16 When looking at individual business units, over three fifths of respondents who have engaged with the System Operator (63%) rated its engagement in terms of transparency as being very good or good, this figure was just over half (54%) for Network Rail Scotland.

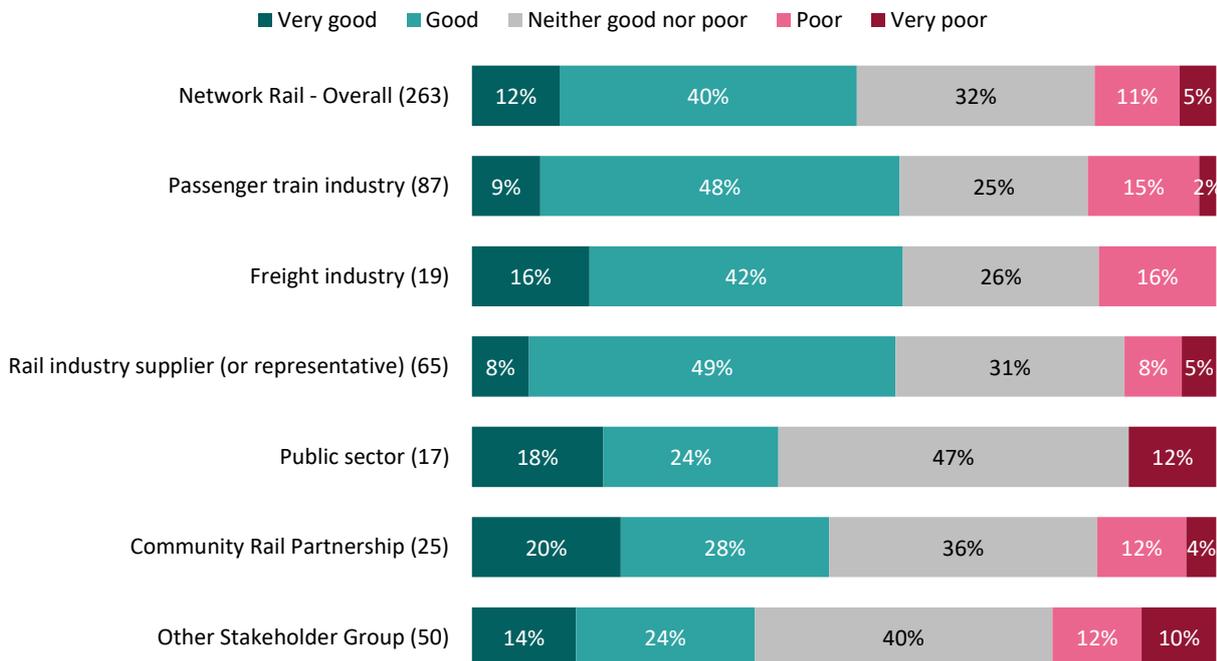
**Figure 9: In your opinion, how would you rate Network Rail’s engagement with you regarding the principle of being Transparent? Please rate the following parts of Network Rail you engaged with.**



**Base: All Respondents – Number of respondents in each business unit shown in brackets.**

5.17 Figure 10 shows how respondents rate their engagement with Network Rail overall regarding the principle of being **transparent** broken down by stakeholder group. While almost three fifths of those in the freight industry (58% - 11 of out 19 respondents), passenger train industry (57%) and rail suppliers (57%) rate this as very good or good, this is the case for around two fifths of respondents who are in the public sector (41% - seven out of 17 respondents).

**Figure 10: In your opinion, how would you rate Network Rail’s engagement with you regarding the principle of being Transparent? Network Rail – overall, breakdown by stakeholder group.**

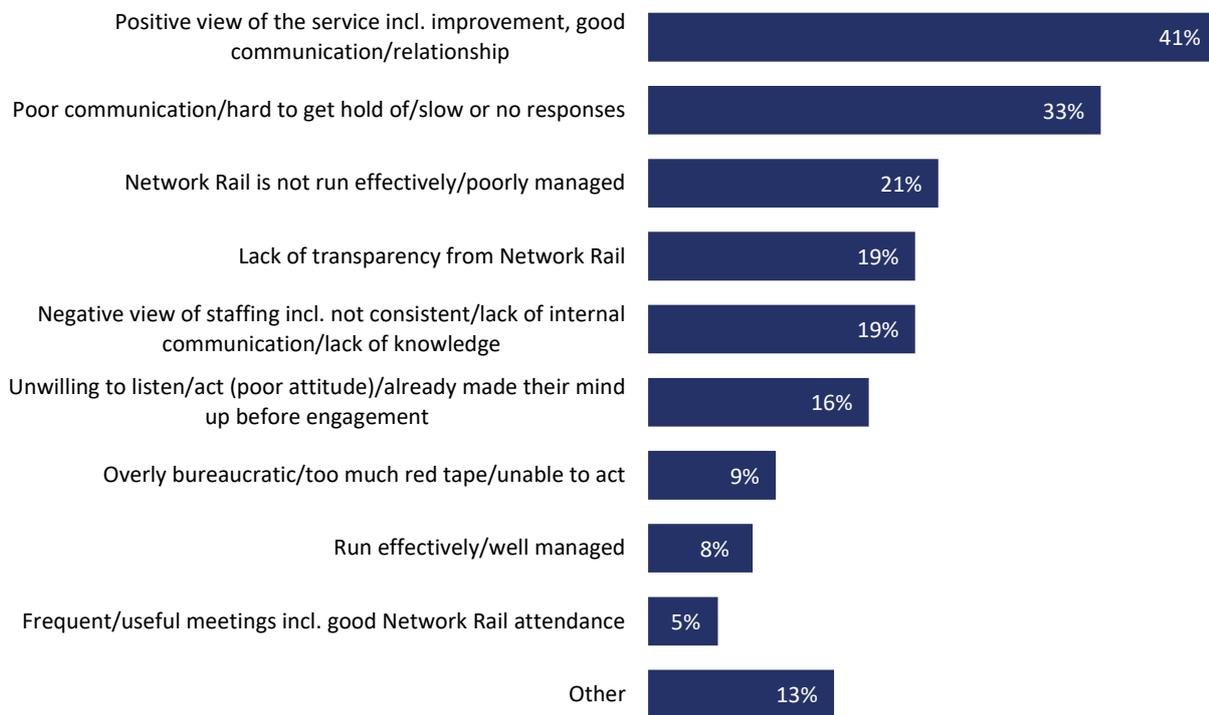


**Base: All Respondents – Number of respondents in each stakeholder group shown in brackets.**

## Further Comments

- 5.18 Respondents were asked if they had any further comments on engagement with regards to the principles of being **inclusive, effective, well-governed** and **transparent**. Figure 11 summarises the main themes arising from the responses given.
- 5.19 Positively, more than two fifths (41%) of respondents, who gave further comments, said that they were happy with the service and/or that the service had improved, and that there was good communication. However, a third (33%) made comments relating to poor communication, saying that Network Rail were hard to get hold of (a point mentioned most frequently by those who have engaged with Network Rail Scotland) or that responses were slow or non-existent.
- 5.20 Other issues commonly mentioned include Network Rail not being run efficiently/poorly managed (21%) as well as a lack of transparency (19%), a lack of consistency/internal communication/knowledge (19%) and Network Rail being unwilling to listen/act and that they had already made their mind up before engagement (16%).

**Figure 11: Please share any further comments on Network Rail’s engagement with you regarding the principles of Inclusive, Effective, Well-governed, and/or Transparent stakeholder engagement.**



**Base: All Respondents who gave further comments – 119; Total number of responses – 220.**

## 6. Business Planning engagement

6.1 In this section respondents were asked about Network Rail’s annual business planning and Control Period 7 Strategic Business Planning.

### Annual business planning

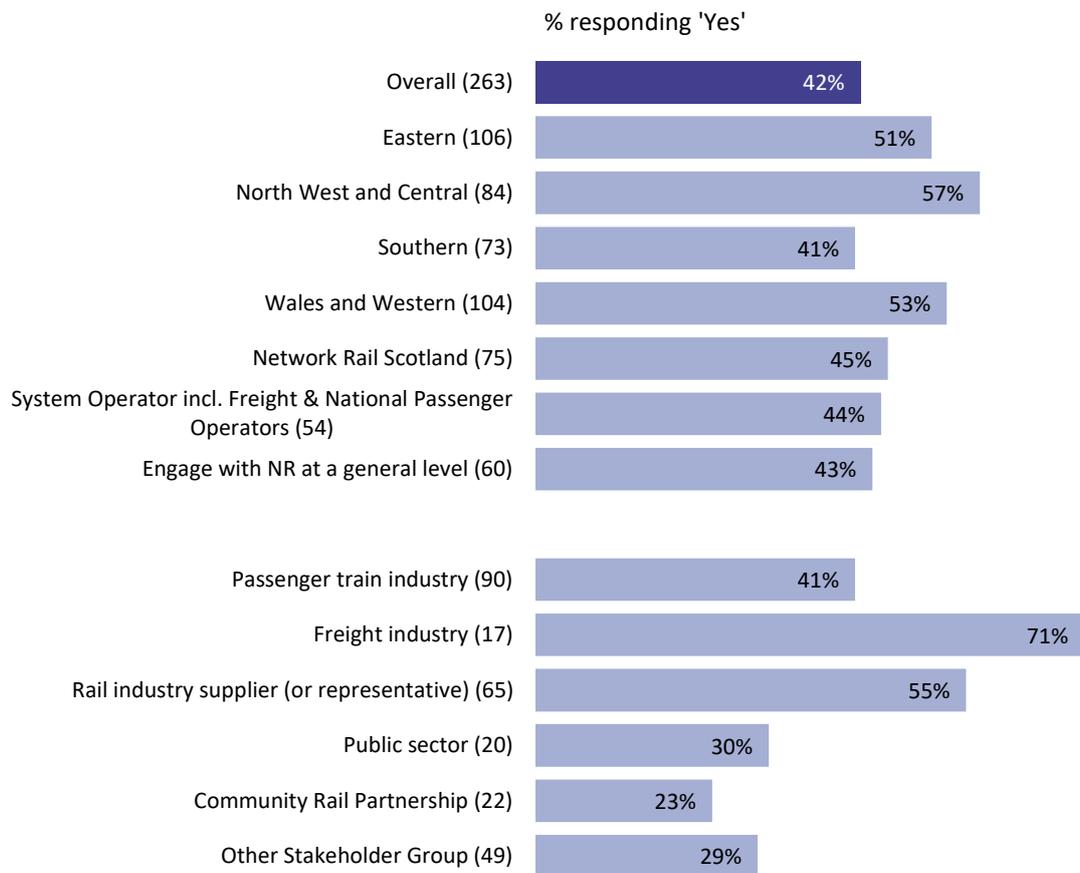
6.2 Network Rail’s annual business planning includes activities such as setting priorities and planning activities to operate, maintain and renew the railway – regardless of time frame.

6.3 Overall, around two fifths (42%) of respondents said that Network Rail engaged with them about its business planning during the last year (Figure 12). This is in-line with the Year 3 results (50% overall).

6.4 When considered by business unit, around three fifths (57%) of respondents who have engaged with North West and Central said Network Rail engaged with them about its business planning during the last year. This drops to around two fifths (41%) in Southern.

6.5 In terms of stakeholder groups, over seven-in-ten of those in the freight industry (71% - 12 of 17 respondents) said Network Rail engaged with them during the last year. This is the case for three in ten or fewer in the public sector (30%) and Community Rail Partnerships (23%).

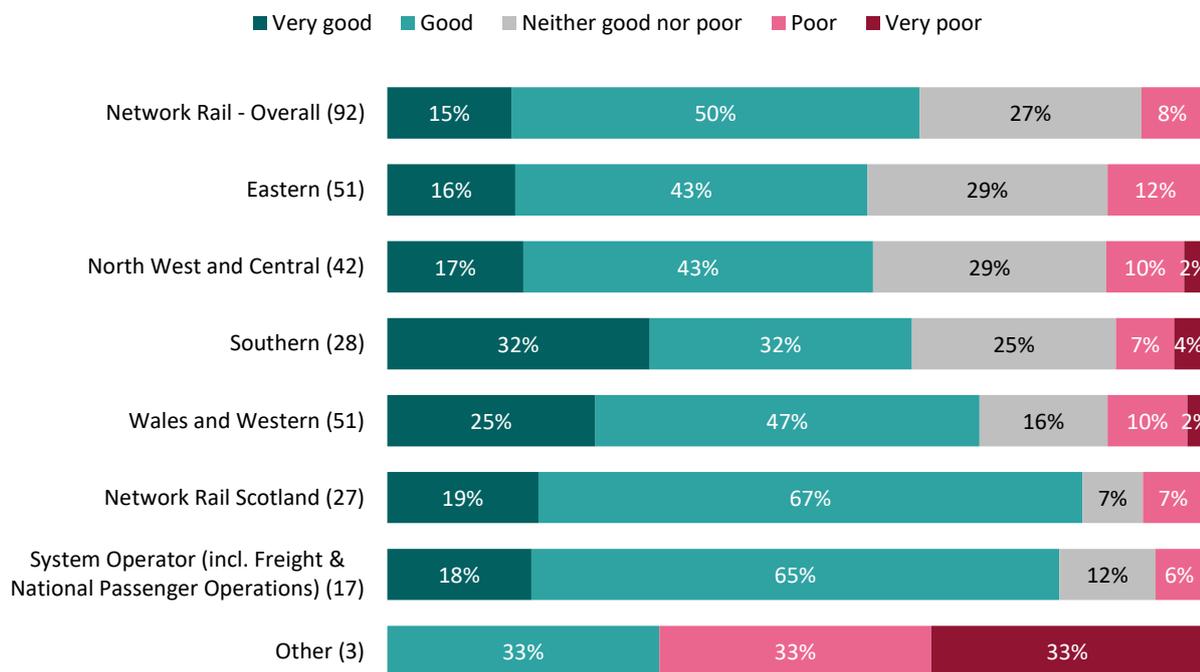
**Figure 12: Did Network Rail engage with you about its business planning during the last 12 months? Those saying 'Yes'. Overall – breakdown by business unit engaged with and stakeholder group.**



**Base: All Respondents (263) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 6.6 Almost two thirds (65%) of respondents rate Network Rail’s overall engagement with them about their business planning as very good (15%) or good (50%) (Figure 13 below). This is in-line with the Year 3 results (58% very good or good overall).
- 6.7 Ratings vary by business unit with over four fifths of respondents who have engaged with Network Rail Scotland (85%) and the System Operator (82% - 14 out of 17 respondents) rating engagement on business planning as very good or good. In contrast, less than three fifths of respondents who engaged with Eastern (59%) rate this as very good or good.

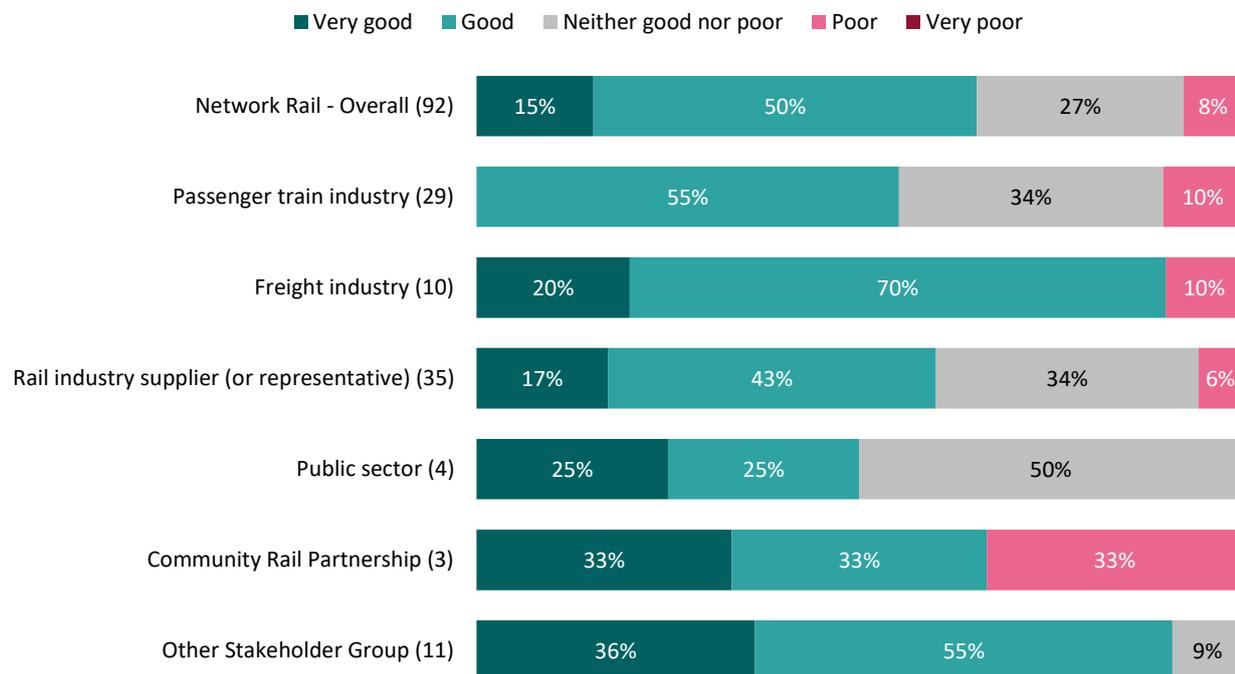
**Figure 13: How would you rate Network Rail’s engagement with you about its annual business planning? Please rate the following part(s) of Network Rail that you engaged with.**



**Base: All Respondents who engaged with Network Rail about business planning – Number of respondents in each business unit shown in brackets.**

- 6.8 Figure 14 shows how respondents rate their engagement with Network Rail overall regarding the business planning broken down by stakeholder group. It can be seen that nine-out-of-ten respondents or more in the other stakeholder group (91% - ten out of 11 respondents) and the freight industry (90% - nine of ten respondents) rate engagement on business planning as very good or good, but this is the case for only half of those in the public sector (50% - two out of four respondents).

**Figure 14: How would you rate Network Rail’s engagement with you about its annual business planning? Network Rail – Overall, breakdown by stakeholder group.**



**Base: All Respondents who engaged with Network Rail about business planning – Number of respondents in each stakeholder group shown in brackets.**

- 6.9 Respondents were asked for any further comments concerning Network Rail’s annual business planning. There were 42 respondents who gave a response to this question, which is too small a number to be able to carry out a quantitative thematic coding of responses. However, a brief overview of the comments is provided below.
- 6.10 Many comments were broadly positive about the engagement highlighting a high level of and good quality engagement, that is regular and proactive.

*“We have regular meetings with NR [Network Rail] about our priorities and these are fed into the annual business planning process” (Engaged with North West and Central)*

*“NR [Network Rail] are very active and hold many regional quarterly forums and supply chain events that outline their plans and where they offer advice on key issues.” (Engaged with Eastern, North West and Central, Southern, Wales and Western, Network Rail Scotland)*

*“The planning team proactively contacted me to involve me in the development of the [sic] their engagement plans. It has been a proactive and considered approach.” (Engaged with Wales and Western).*

- 6.11 Positively, one respondent noted, in particular, that engagement has improved.

*“It has improved engagement on business planning and seeks to take into account the aims of stakeholders better.” (Engaged with Eastern, North West and Central, Wales and Western, Network Rail Scotland, System Operator)*

- 6.12 However, several respondents noted differences in engagement between different business units.

*“Limited and varied engagement and approaches have differed significantly, which is hard to fit around for a national toc [sic] [train operating company]. No engagement with System Operator. (Engaged with Eastern, North West and Central, Wales and Western, Network Rail Scotland, System Operator)*

*“Good engagement from Wales and Western but no engagement from other routes.” (Engaged with Eastern, North West and Central, Wales and Western)*

- 6.13 There were some respondents who felt that engagement could be more productive if Network Rail were more open to ideas but also frank about what can realistically be delivered.

*“It was more a briefing on their intentions, not a consultation which would result in change.” (Engaged with Eastern, Network Rail Scotland, System Operator)*

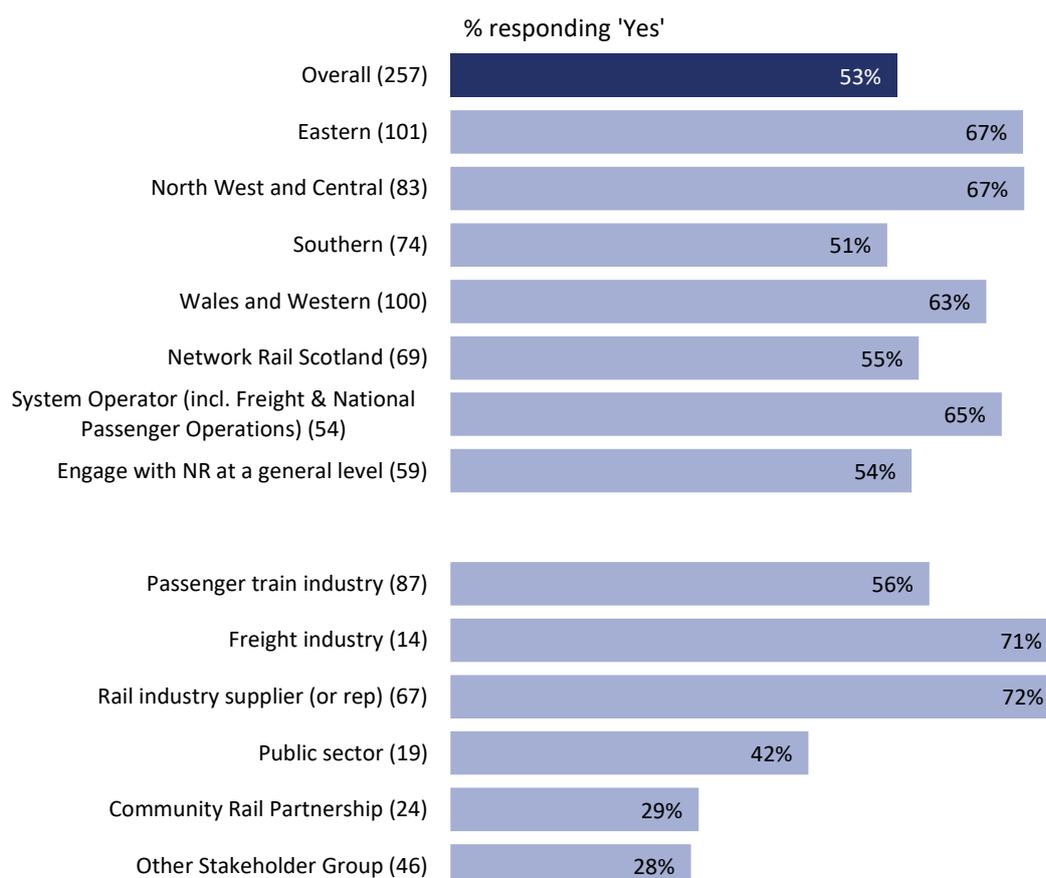
*“I think we need to treat some of this engagement with a dose of 'realism'. Often, there are outlandish suggestions made by stakeholders as part of this process which we know are never going to be delivered. I think there is an opportunity to be much more frank about budget and spend priorities. The business planning process almost feels like a 'tick box', when I think NWR should be much more frank about budget settlements and what this means. That would mean time is spent much more productively.” (Engaged with North West and Central)*

## Control Period 7 (CP7) Strategic Business Planning

- 6.14 ORR launched Periodic Review 2023 (PR23) in June 2021. PR23 will establish the funding and outputs that Network Rail (or Great British Railways) must deliver over the five years from 2024 to 2029, known as Control Period 7. Its strategic business plan is an important part of the periodic review process and should reflect stakeholder priorities.
- 6.15 Around half (53%) of all respondents said that Network Rail engaged with them about its Control Period 7 (CP7) Strategic Business Planning during the last year (Figure 15). This is in-line with the Year 3 results (51% overall).
- 6.16 Over two thirds (67%) of respondents who engaged with North West and Central and Eastern said that Network Rail engaged with them about CP7 Strategic Business Planning, whereas this is the case for around half (51%) of those who have engaged with Southern.

6.17 In terms of stakeholder groups, while over seven in ten respondents who are rail industry suppliers (72%) and those in the freight industry (71% - ten out of 14 respondents) engaged with Network Rail about CP7 Strategic Business Planning during the last year, this is the case for only less than three in ten of respondents in a Community Rail Partnership (29%).

**Figure 15: Did Network Rail engage with you about its Control Period 7 Strategic Business Planning during the last 12 months? Those saying ‘Yes’. Overall – breakdown by business unit engaged with and stakeholder group.**



**Base: All Respondents (257) – Number of responses in each business unit/stakeholder group shown in brackets**

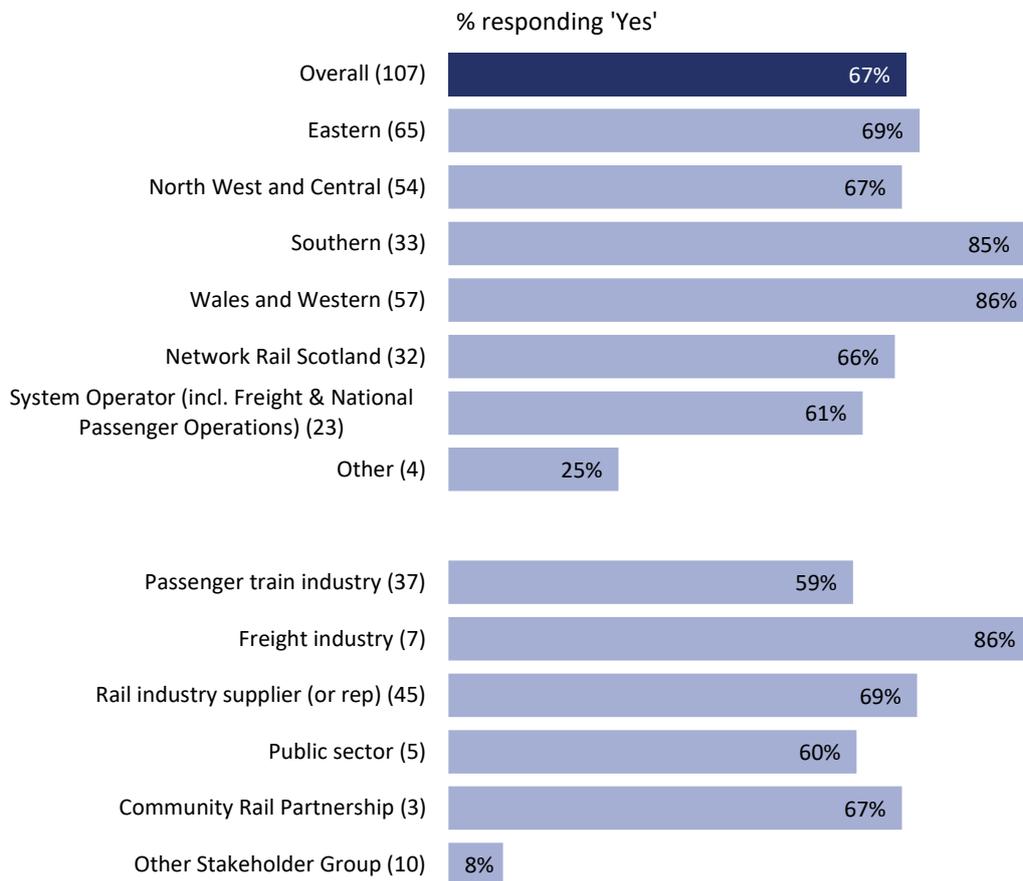
6.18 Over two thirds (67%) of respondents who engaged with Network Rail on CP7 Strategic Business Planning said they provided sufficient information to inform their engagement (Figure 15).

6.19 When considered by business unit, over four fifths of respondents who engaged with Wales and Western (86%) and Southern (85%) said that Network Rail provided sufficient information to inform their engagement, whereas this is the case for around three fifths (61%) of those who have engaged with the System Operator.

6.20 In terms of stakeholder groups, while over four fifths of those in the freight industry (86% - six out of seven respondents) said that Network Rail provided sufficient information to inform

their engagement, this is the case for less than three fifths (59%) of those in the passenger train industry.

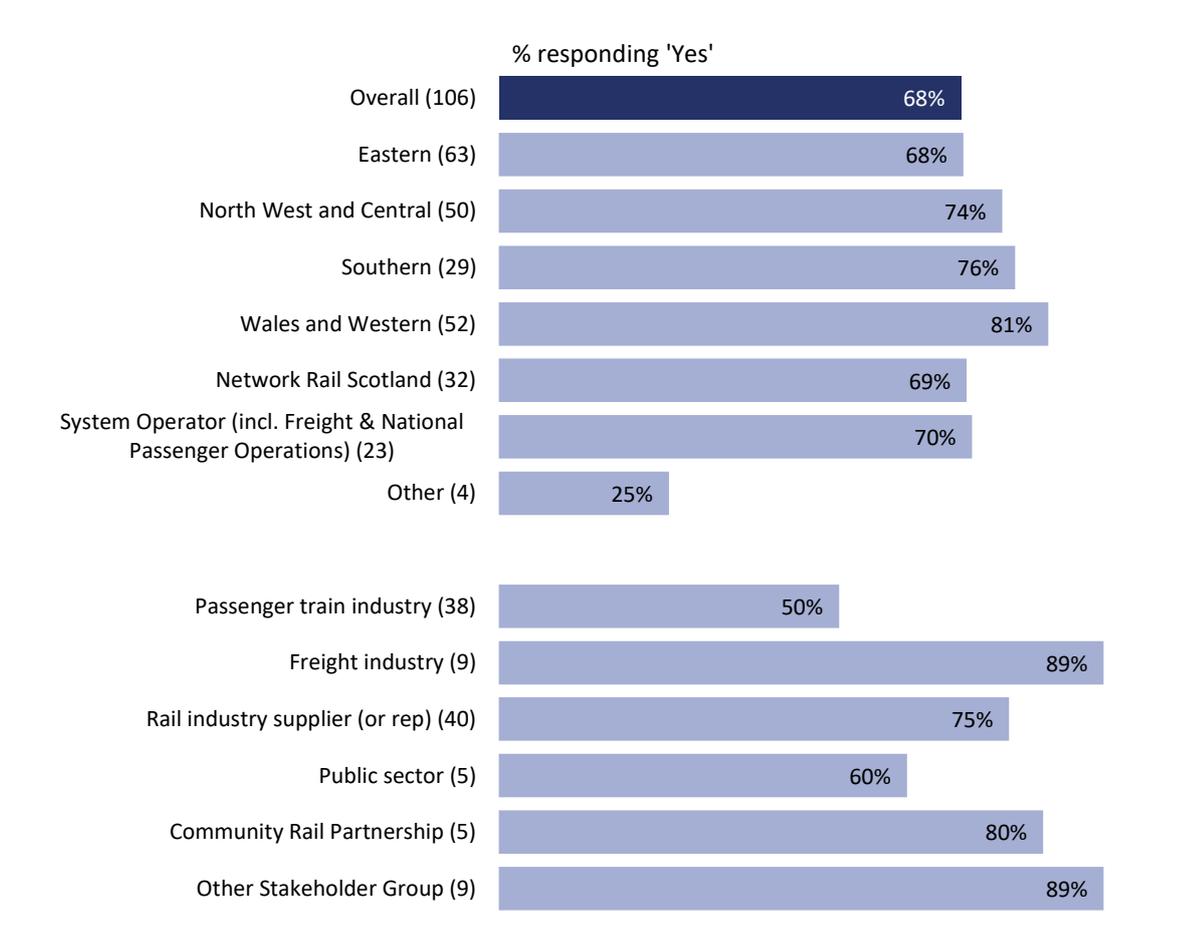
**Figure 16: Did Network Rail provide sufficient information to you to inform your engagement? Those saying 'Yes'. Overall – breakdown by business unit engaged with and stakeholder group.**



**Base: All Respondents who engaged with Network Rail on Control Period 7 Strategic Business Planning (107) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 6.21 Over two thirds (68%) of respondents who engaged with Network Rail on CP7 Strategic Business Planning said they provided them with sufficient and timely opportunities to contribute their views in the stakeholder engagement process (Figure 15).
- 6.22 This varies by business unit, with over four fifths of respondents who engaged with Wales and Western (81%) saying that Network Rail provided them with sufficient and timely opportunities to contribute their views, whereas this is the case for less than seven-in-ten of those who have engaged with Network Rail Scotland (69%) and Eastern (68%).
- 6.23 When broken down by stakeholder groups, almost nine in ten of those in the freight industry (89% - eight out of nine respondents) said that Network Rail provided them with sufficient and timely opportunities to contribute their views, whilst this is the case for three fifths (60% - three out of five respondents) of those in the public sector and half (50%) of the passenger train industry.

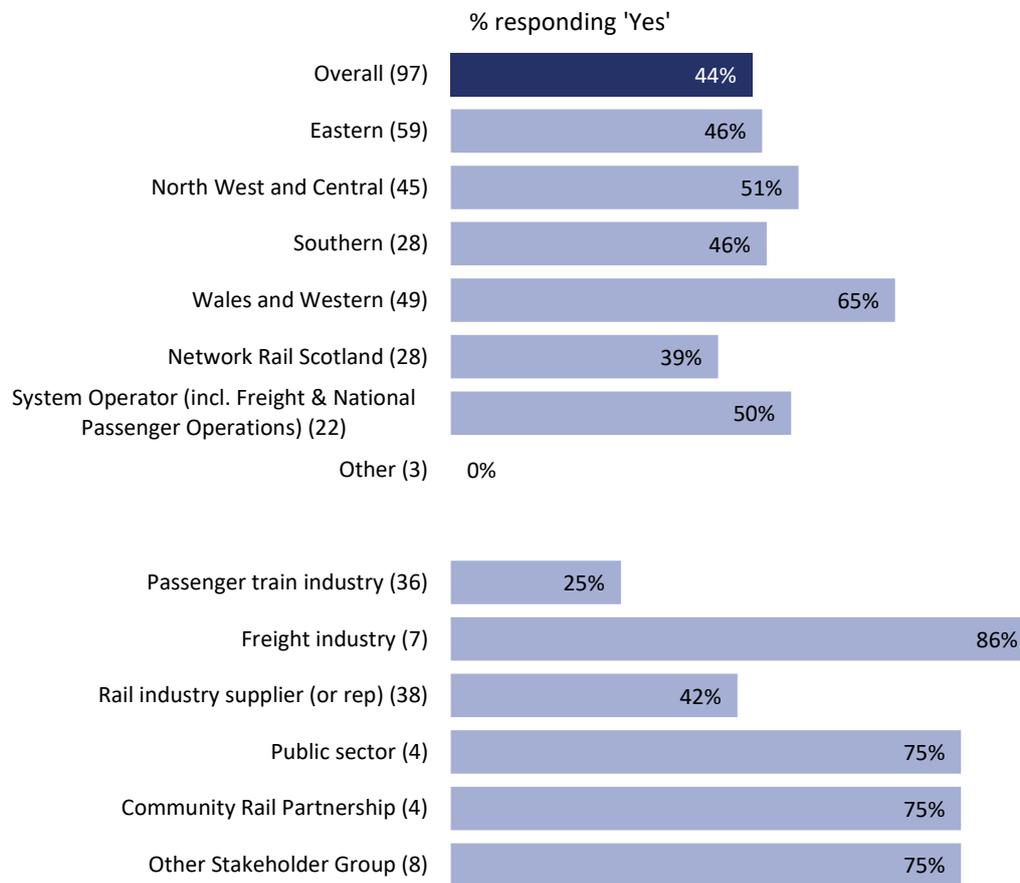
**Figure 17: Did Network Rail provide you with sufficient and timely opportunities to contribute your views in the stakeholder engagement process? Those saying ‘Yes’. Overall – breakdown by business unit engaged with and stakeholder group.**



**Base: All Respondents who engaged with Network Rail on Control Period 7 Strategic Business Planning (106) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 6.24 Over two fifths (44%) of respondents who engaged with Network Rail on CP7 Strategic Business Planning said they knew how this engagement would subsequently be used in the development of its CP7 Strategic Business Plan (Figure 158).
- 6.25 When considered by business unit, around two fifths (65%) of respondents who engaged with Wales and Western said they knew how this engagement would subsequently be used, whereas this is the case for less than two fifths (39%) of those who have engaged with Network Rail Scotland.
- 6.26 In terms of stakeholder groups, while over four fifths of those in the freight industry (86% - six out of seven respondents) said that Network Rail informed them how the engagement was subsequently used, this is the case for a quarter (25%) of those in the passenger train industry.

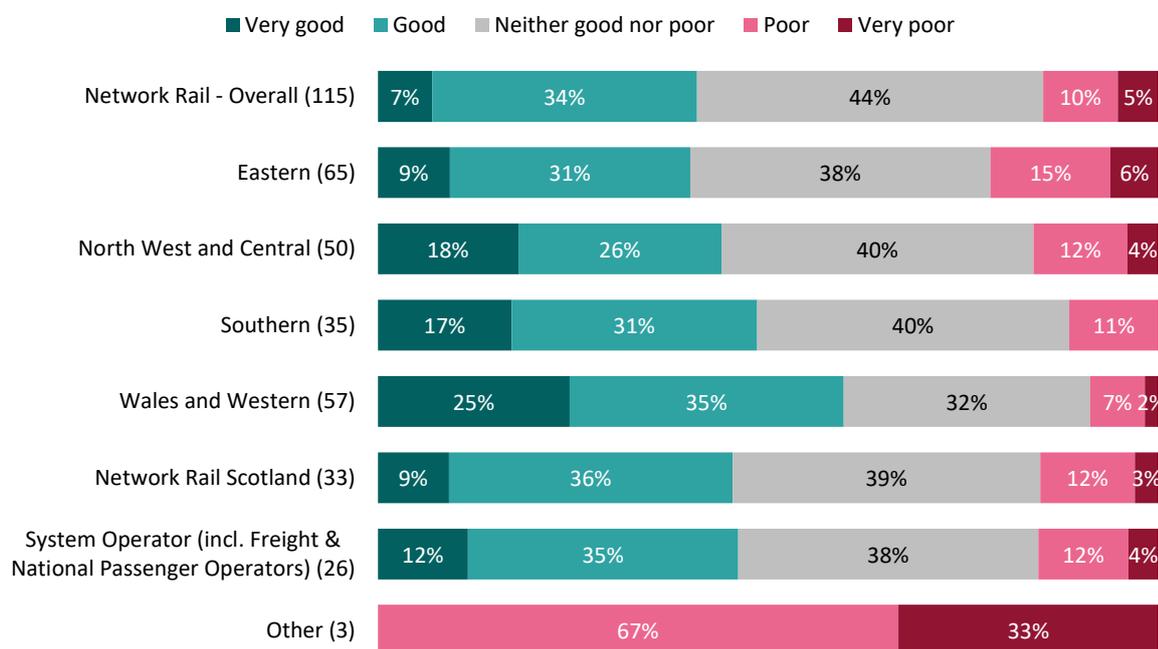
**Figure 18: Did Network Rail inform you how this engagement was subsequently used in the development of its Control Period 7 (CP7) Strategic Business Plan? Those saying 'Yes'. Overall – breakdown by business unit engaged with and stakeholder group.**



**Base: All Respondents who engaged with Network Rail on Control Period 7 Strategic Business Planning (97) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 6.27 Figure 19 shows that around two fifths (41%) of respondents rate Network Rail's overall engagement with them regarding its CP7 Strategic Business Planning as very good (7%) or good (34%). This is significantly lower than the Year 3 results (56% very good or good overall).
- 6.28 Ratings vary by business unit; three fifths of respondents who have engaged with the Wales and Western business unit (60%) rate engagement regarding CP7 Strategic Business Planning as very good or good, compared to two fifths of respondents who have engaged with Eastern (40%).
- 6.29 The proportion of respondents who have engaged with Eastern and rate engagement as very good or good is significantly lower when compared with the Year 3 results (68% very good or good).

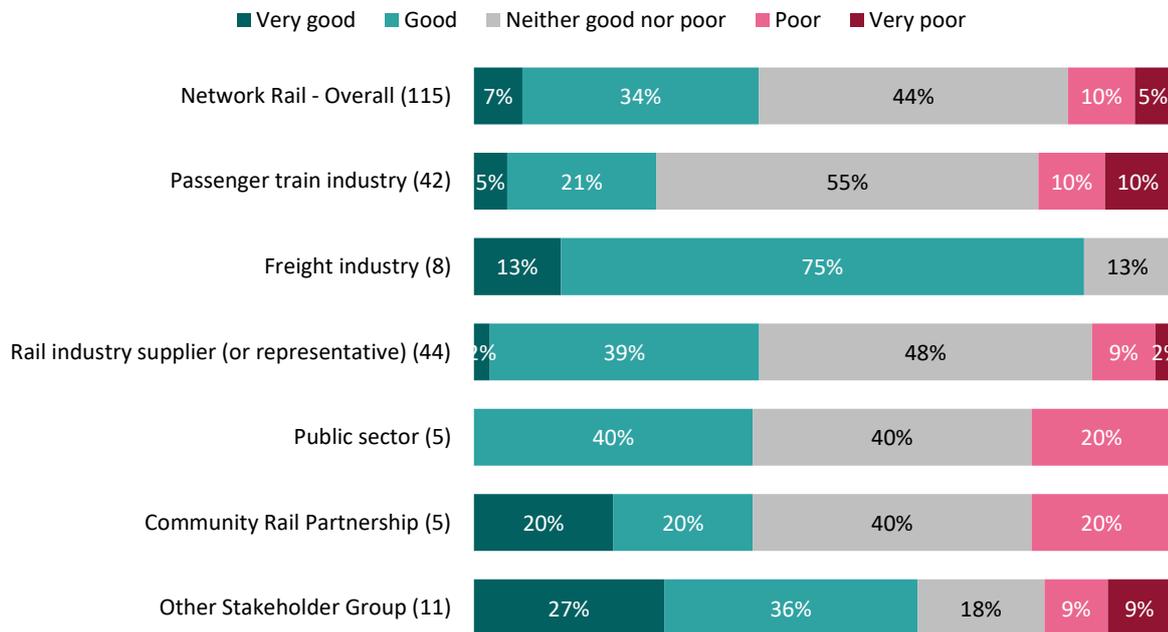
**Figure 19: How would you rate Network Rail’s engagement with you on its Control Period 7 Strategic Business Planning? Please rate the following part(s) of Network Rail that you engaged with.**



**Base: All Respondents who engaged with Network Rail on Control Period 7 Strategic Business Planning – Number of respondents in each business unit shown in brackets.**

- 6.30 Figure 20 shows how respondents rate their engagement with Network Rail overall regarding CP7 Strategic Business Planning broken down by stakeholder group. It can be seen that while around nine-in-ten respondents (88% - seven out of eight respondents) in the freight industry rate this as very good or good, this is the case for around a quarter of those in the passenger train industry (26%).
- 6.31 The proportion of respondents who are rail industry suppliers (41%) and rate engagement as very good or good is significantly lower when compared with the Year 3 results (75% very good or good).

**Figure 20: How would you rate Network Rail’s engagement with you on its Control Period 7 Strategic Business Planning? Network Rail – Overall, breakdown by stakeholder group.**



**Base: All Respondents who engaged with Network Rail on Control Period 7 Strategic Business Planning (115) – Number of respondents in each stakeholder group shown in brackets.**

- 6.32 Respondents were asked for any further comments concerning Network Rail’s CP7 Strategic Business Planning. There were 45 respondents who gave a response to this question, which is too small a number to be able to carry out a quantitative thematic coding of responses. However, a brief qualitative overview of the comments is provided below.
- 6.33 Several respondents were positive about Network Rail’s CP7 planning engagement especially when this engagement was varied to meet needs, informative and gave a chance for stakeholders to provide feedback:

*“Eastern and NW and C [sic] [North West and Central] region have provided good engagement with regards to CP7 planning. Provided different methods of engagement to meet northern’s needs.”*  
**(Engaged with Eastern, North West and Central)**

*“Wales and Western held a number of workshops which were informative and gave a chance to provide feedback.”* **(Engaged with Eastern, North West and Central, Wales and Western)**

- 6.34 However, many of the comments were less positive. In particular, several respondents felt that engagement on the CP7 procurement process (Eastern business unit) was not well managed, stating that they were not given enough time and there was very little communication.

*“Extremely disappointed in the procurement process in Eastern having spent a significant amount of money & time on the PQQ process, only for it to be terminated after submission. The process up until the decision to terminate was very positive but very little communication at the time of termination. It will now be re-tendered and communication is now positive.” (Engaged with Eastern, North West and Central, Southern, Wales and Western, Network Rail Scotland)*

*“Eastern region engaged with the suppliers on CP7 procurement strategy, supplier responded, NR still continued to PQQ submission & evaluations, then abandoned the procurement to re-strategise - after 3 months no engagement on new CP7 procurement strategy.” (Engaged with Eastern, Network Rail Scotland)*

- 6.35 There were further criticisms of CP7 planning engagement in general, mainly in connection with stakeholders not being given enough time to give a response, making any review ineffective and unmeaningful.

*“Engagement on performance trajectory was very late and ineffective, with a very short deadline (same day) given for a response. Thus, not able to conduct any meaningful review of plans. Engagement on other areas of CP7 planning has been minimal.” (Engaged with Network Rail Scotland)*

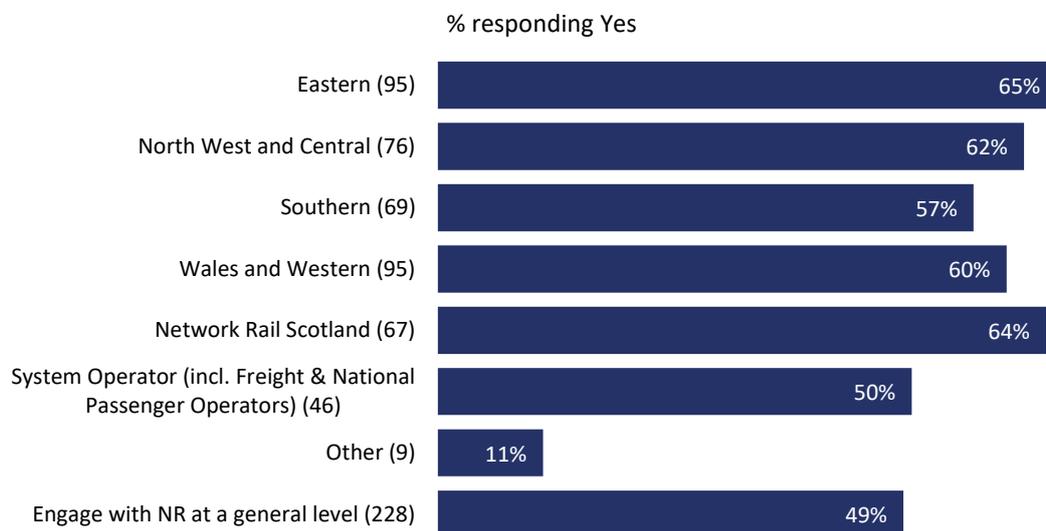
*“It all felt a bit last minute and more work could be done well in advance to bring all parties together earlier and put something into CP7 that even if a renewal may benefit other parties such as local authorities.” (Engaged with Eastern, System Operator)*

# 7. Enhancements Delivery Plan engagement

## Enhancements Delivery Plan

- 7.1 The Enhancements Delivery Plan (EDP) sets out the enhancement commitments (development of new infrastructure) that Network Rail has made to the Department for Transport (DfT) and Transport Scotland. An aim of the plan is to provide visibility on infrastructure commitments and their status to stakeholders.
- 7.2 Respondents were asked whether each business unit they have engaged with had engaged with them on the planning of enhancements in the last year. Figure 21 shows that around two thirds who engaged with Eastern (65%) and Network Rail Scotland (64%) said this was the case. This falls to half (50%) for those who engaged with the System Operator.

**Figure 21: Did the following part(s) of Network Rail engage with you on the planning of railway enhancements during the last 12 months? Those saying ‘Yes’.**

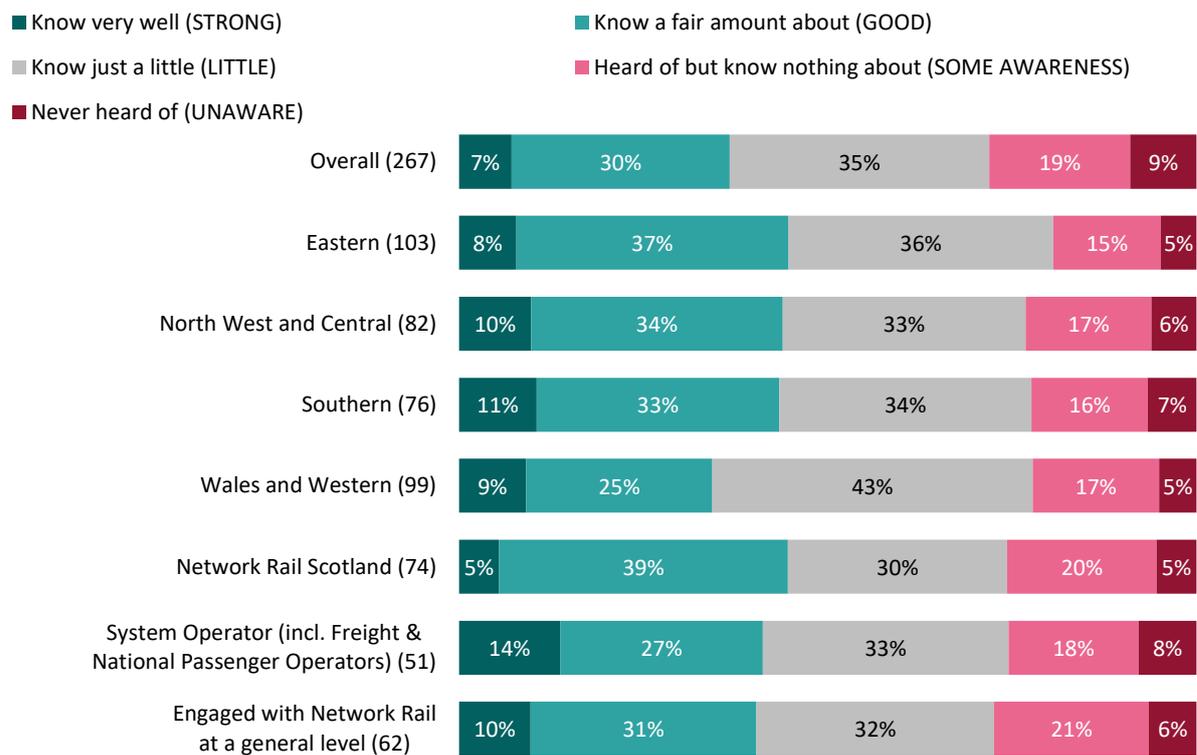


**Base: All Respondents – Number of respondents in each business unit/stakeholder group shown in brackets.**

- 7.3 Overall, over nine-in-ten (91%) respondents are aware of the Enhancements Delivery Plan (EDP) which is significantly higher than the Year 3 results (84% awareness). However, just over a third (37%) say they have a strong (7%) or good (30%) knowledge of the plan – this is in-line with the Year 3 results (33% know very well or know a fair amount about).

7.4 When this is broken down by business unit engaged with, it can be seen that the highest level of knowledge of the plan is amongst respondents who have engaged with Network Rail Scotland (45%) and Eastern (45%), and the lowest is for respondents who have engaged with Wales and Western (34%).

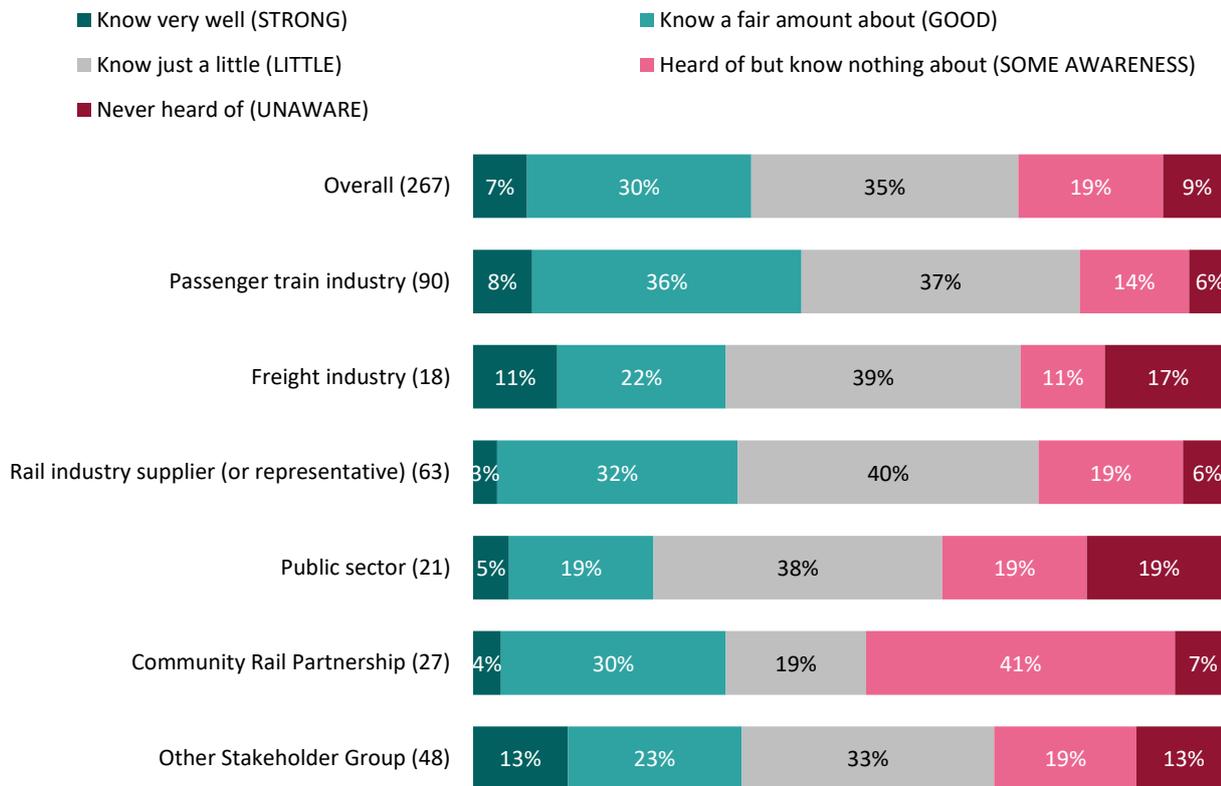
**Figure 22: Which of the following best describes your knowledge of the Enhancements Delivery Plan? Breakdown by business unit engaged with.**



**Base: All Respondents (267) – Number of responses in each business unit shown in brackets.**

7.5 When broken down by stakeholder group, Figure 23 shows the highest level of knowledge of the EDP to be amongst respondents who are in the passenger train industry (43%). The lowest level of knowledge of the plan is amongst the public sector (24%).

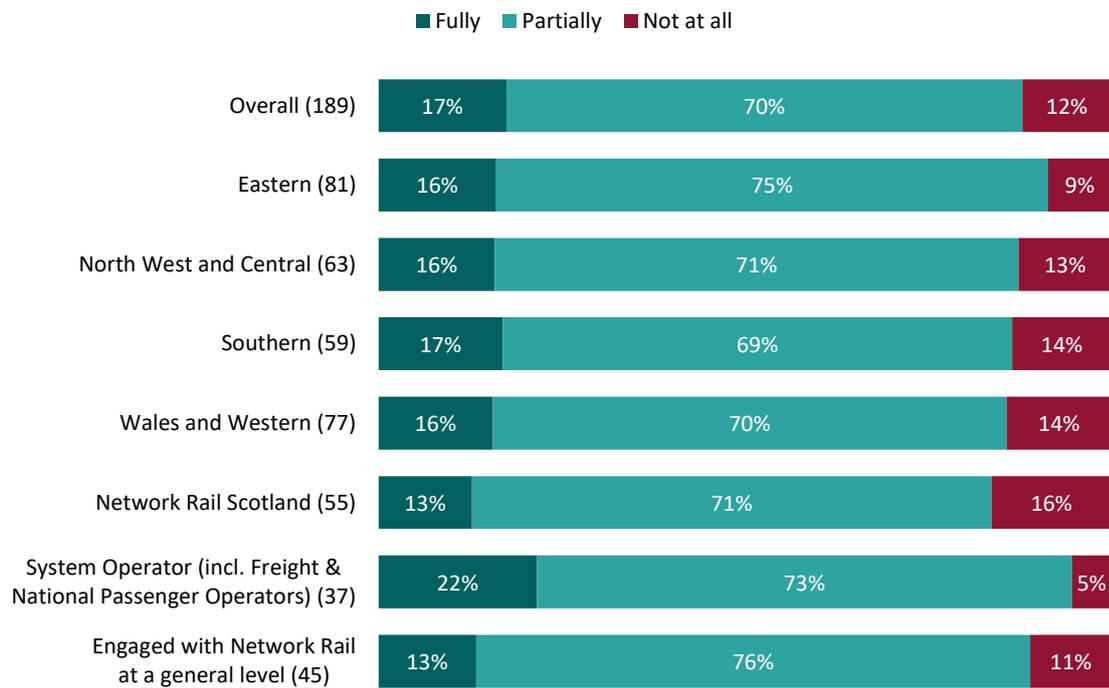
**Figure 23: Which of the following best describes your knowledge of the Enhancements Delivery Plan? Breakdown by stakeholder group.**



**Base: All Respondents (267) – Number of respondents in each stakeholder group shown in brackets.**

- 7.6 When asked whether the EDP in its current format provides the information required to plan their business, under a fifth (17%) of respondents said that it did fully, with a further seven-in-ten (70%) saying it at least partially met their needs. Just over one in ten (12%) said that it did not meet their needs at all (Figure 24).
- 7.7 The proportion of respondents who say the plan provides the information required fully has significantly decreased when compared with the Year 3 results (31%), whilst the proportion who answered partially has significantly increased (57% in Year 3).
- 7.8 When broken down by business unit engaged with, it can be seen that those who engage with North West and Central (16%), Southern (17%) and Wales and Western (16%) are significantly less likely to say the plan provides the information required fully when compared with the Year 3 results (34%, 39%, and 35% respectively). In terms of those who feel that the plan doesn't meet their needs at all, only 5% who engage with the System Operator say this, whilst this increases to 16% for those who engage with Network Rail Scotland.

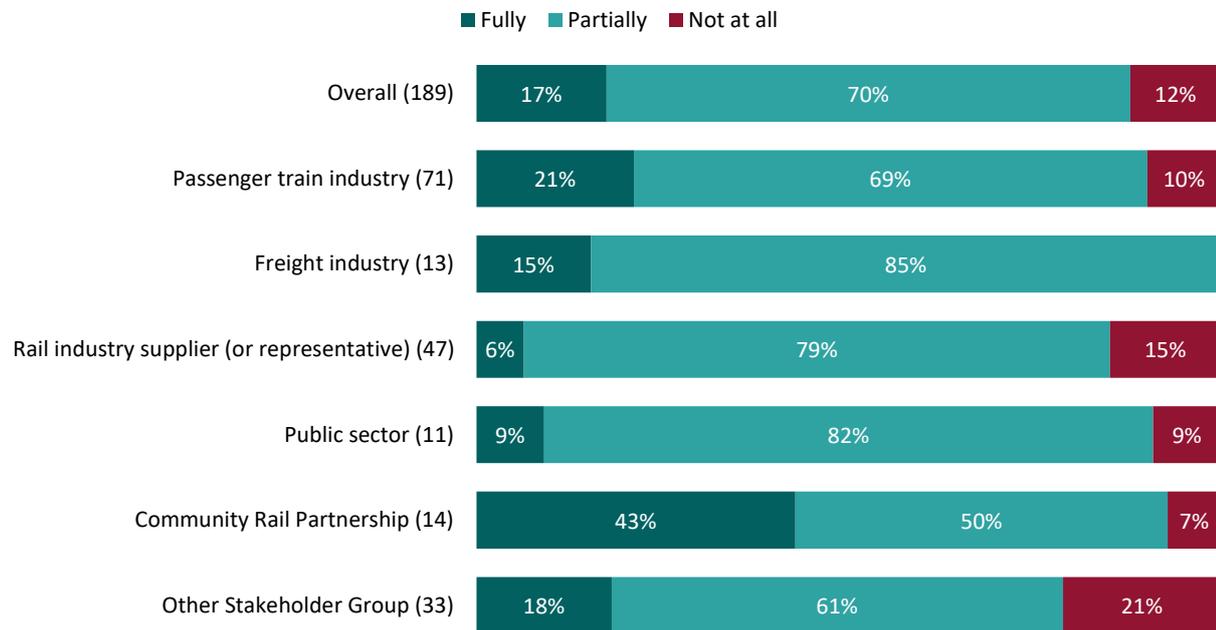
**Figure 24: In your opinion, does the Enhancement Delivery Plan in its current format provide you with the information you require to plan your business? Breakdown by business unit engaged with.**



**Base: All Respondents who describe their knowledge of the Enhancements Delivery Plan as strong, good or little (189) – Number of responses in each business unit shown in brackets.**

<sup>7.9</sup> When considered by stakeholder group (Figure 25) it is noteworthy that over a fifth of respondents who are in an 'other' stakeholder group (21%) think that the plan doesn't meet their needs at all, while no freight industry respondents feel this is the case. Six of the 14 respondents who are in a Community Rail Partnership (43%) feel that the plan fully meets their needs, but the proportion of rail industry suppliers (6%) who feel this way has significantly decreased when compared with the Year 3 survey (29%).

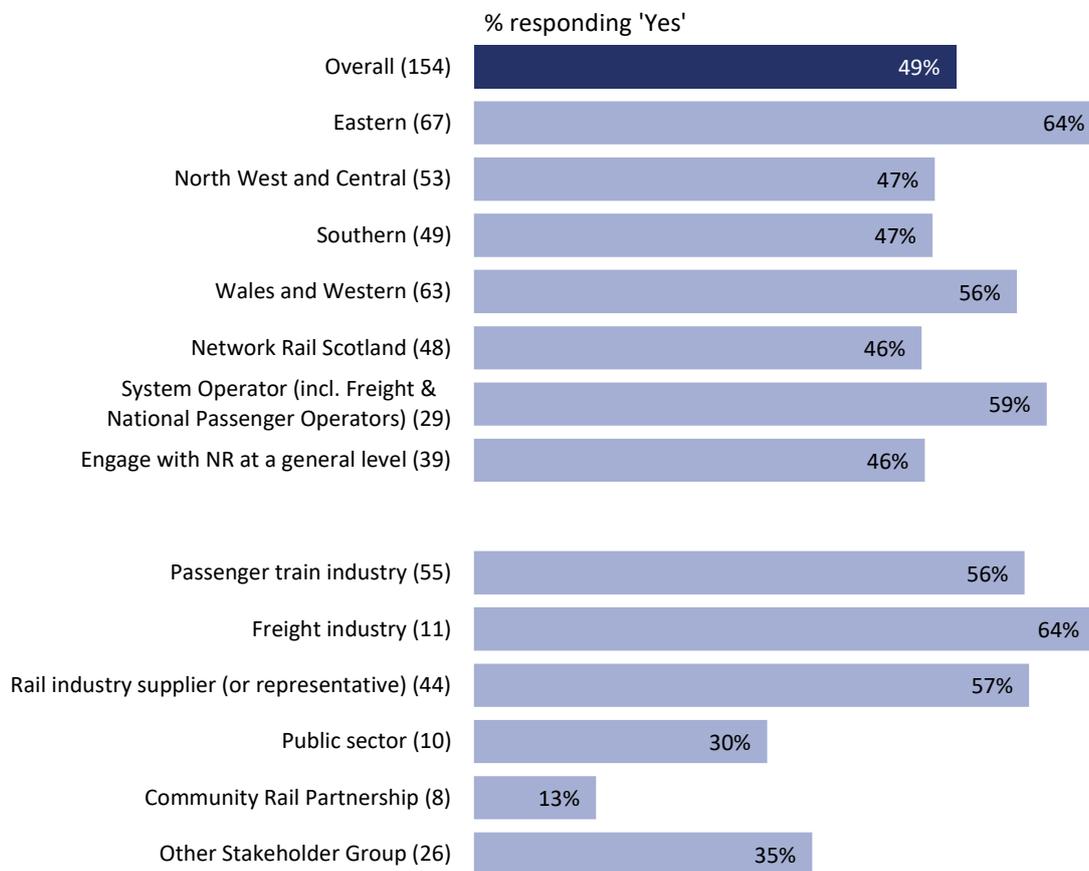
**Figure 25: In your opinion, does the Enhancement Delivery Plan in its current format provide you with the information you require to plan your business? Breakdown by stakeholder group.**



**Base: All Respondents who describe their knowledge of the Enhancements Delivery Plan as strong, good or little (189) – Number of respondents in each stakeholder group shown in brackets.**

- 7.10 Those who said that the plan did not fully meet their needs were asked if they had discussed this with Network Rail (Figure 26). Overall, around half (49%) have done so. This is significantly higher than the Year 3 results (36%).
- 7.11 This figure increases to 64% of respondents who have engaged with Eastern but falls to 46% of respondents who have engaged with Network Rail Scotland and Network Rail at a general level. Those who have engaged with Eastern (64%) and Wales and Western (56%) are significantly more likely to say they have discussed this with Network Rail compared with the Year 3 survey (35% and 28% respectively).
- 7.12 Seven of the 11 respondents (64%) who are in the freight industry have discussed the plan not fully meeting their needs with Network Rail, while this is the case for only one in eight (13%) of respondents who are in a Community Rail Partnership.

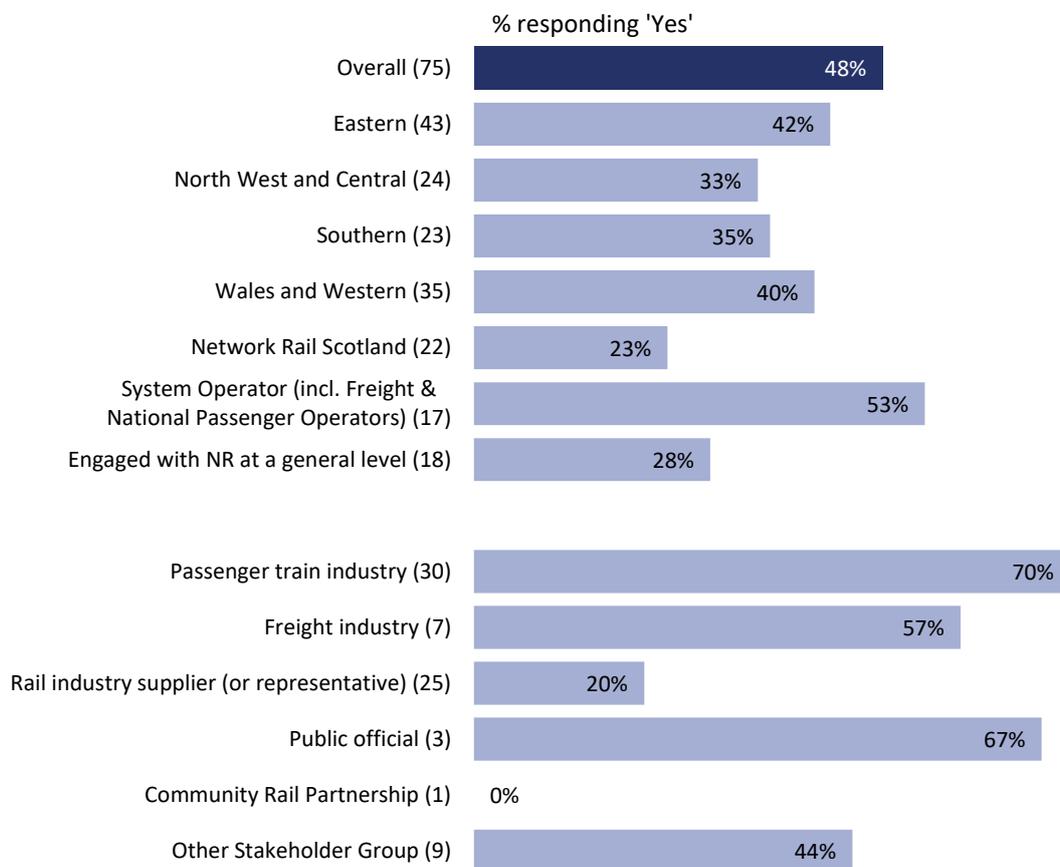
**Figure 26: You said that the Enhancement Delivery Plan (EDP) in its current format does not fully provide you with the information required to plan your business. Have you discussed this with Network Rail? Those saying yes. Breakdown by business unit engaged with and stakeholder group.**



**Base: All Respondents who said that the Enhancements Delivery Plan (EDP) in its current format does not fully provide them with the information required to plan their business (154) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 7.13 Around half (48%) of the respondents who discussed the EDP, and the information they require to plan their business, with Network Rail, say that Network Rail provided them with additional information. This is in-line with the Year 3 results (53%).
- 7.14 When viewed by business unit, it can be seen that over half (53% - 9 out of 17 respondents) of those who engage with the System Operator say that Network Rail provided them with additional information, with this falling to less than a quarter (23%) for those who engage with Network Rail Scotland.
- 7.15 When considered by stakeholder group, seven-in-ten (70%) respondents in the passenger train industry say they were provided with additional information, while this is the case for only a fifth (20%) of rail industry suppliers.

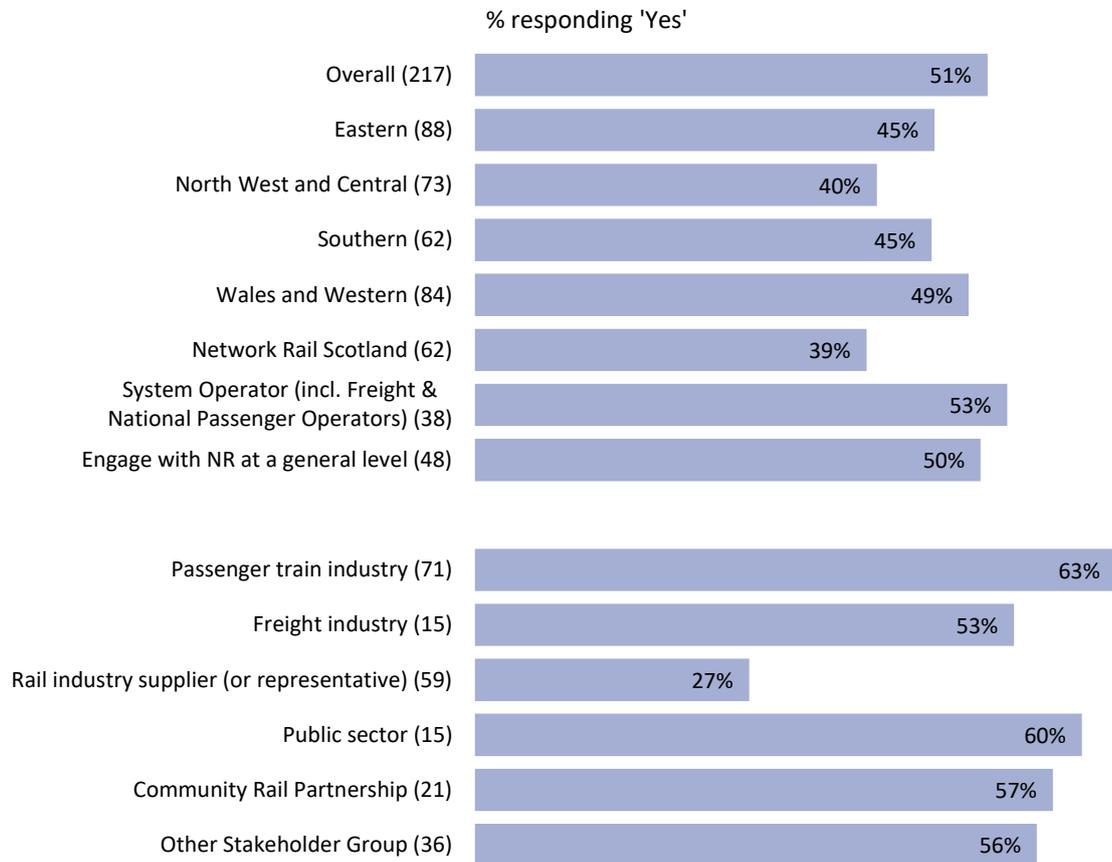
**Figure 27: Did Network Rail provide you with any additional information on enhancement schemes? Those saying Yes. Breakdown by business unit engaged with and stakeholder group.**



**Base: All Respondents who discussed the information required to plan their business with Network Rail (75) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 7.16 Across all respondents just over half (51%) feel that they have all the information about Network Rail's enhancements they need to plan their business, which means that almost half (49%) do not have all the information they need (Figure 28).
- 7.17 This is in-line with the Year 3 results (53% feel they have all the information).
- 7.18 Around half of respondents who have engaged with the System Operator (53%), Network Rail at a general level (50%) and Wales and Western (49%) feel they have all the information they need on enhancements in order to plan their business. However, this falls to around two fifths of respondents who have engaged with North West and Central (40%) and Network Rail Scotland (39%).

**Figure 28: Considering all the sources of information you have on Network Rail’s enhancements, in your opinion, would you say that you have the information you need to plan your business? Those saying Yes. Breakdown by business unit engaged with and stakeholder group.**



**Base: All Respondents (217) – Number of responses in each business unit/stakeholder group shown in brackets.**

7.19 Respondents were asked what further information they required from Network Rail to plan their business. There were 73 respondents who gave a response to this question which is too small a number to be able to carry out a quantitative thematic coding of responses. However, a brief qualitative overview of the comments is provided below.

7.20 Several respondents mentioned the need for better information on planning timelines with more accurate dates so that they can better plan their business. For example:

*“A better picture and understanding of timing of plans particularly major possessions to help give more certainty for planning.” (Engaged with Wales and Western)*

*“Clarity on routes to market in a timely manner with timescales for setting up frameworks etc being adhered to.” (Engaged with Wales and Western)*

*“Committed schemes and committed milestone dates, which have been sensibly agreed with the supply chain, taking into account the full complexity of delivery.” (Engaged with Eastern)*

*“Timescales and sticking to them would be helpful. Ensuring each region talks to each other as there is a tendency to overlap procurement exercises.” (Engaged with Eastern, North West and Central, Southern, System Operator, and at a general level)*

7.21 Others highlighted that information needs to be made available sooner and that Network Rail needs to be more proactive in getting information to stakeholders.

*“It would be helpful to know what plans are in place to do maintenance works at stations, at the moment as a toc [train operating company] station manager I have no visibility of what is going to be done and get little advance warning of bigger projects.” (Engaged with Southern)*

*“Limited information available when the enhancement plans change e.g. decision to cancel dual tracking on the EK [East Kilbride] project. It was just announced.” (Engaged with Network Rail Scotland)*

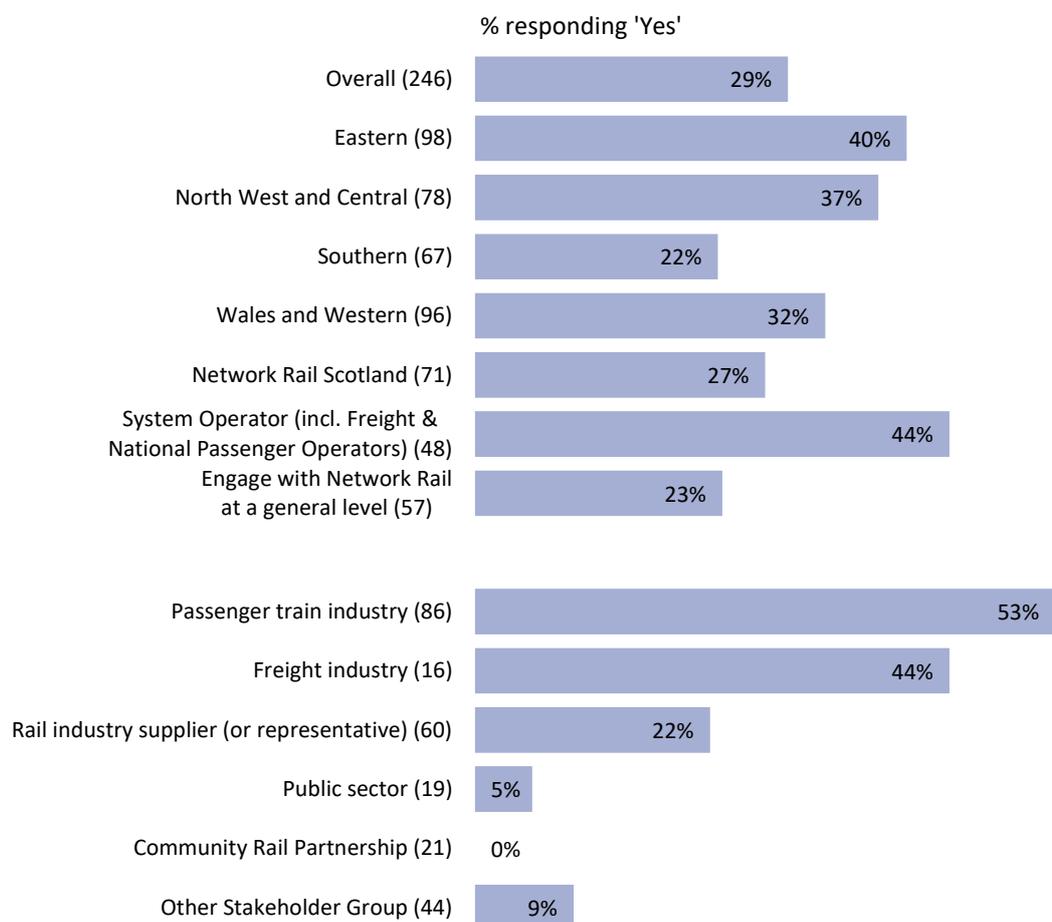
*“Specific information on what is planned and when in the CRP's area and adjoining. Route stakeholder newsletters are becoming better at explaining what nr is doing and why, but there is still room for improvement.” (Engaged with Southern)*

## 8. Business performance management engagement

### Network Rail scorecards

- 8.1 Network Rail scorecards capture key outputs that each region and the System Operator plans to deliver over (at least) the next year across a range of activities (financial, train performance etc). The scorecards provide a vehicle for recording what each customer wants, agreeing how it should be measured and what level of performance is reasonable.
- 8.2 Figure 29 shows the percentage of respondents who were engaged with Network Rail in relation to scorecards during the last 12 months. Overall, around three-in-ten (29%) respondents engaged with Network Rail on this subject. Over two fifths (44%) who engaged with the System Operator engaged in relation to scorecards – the highest of any business unit.

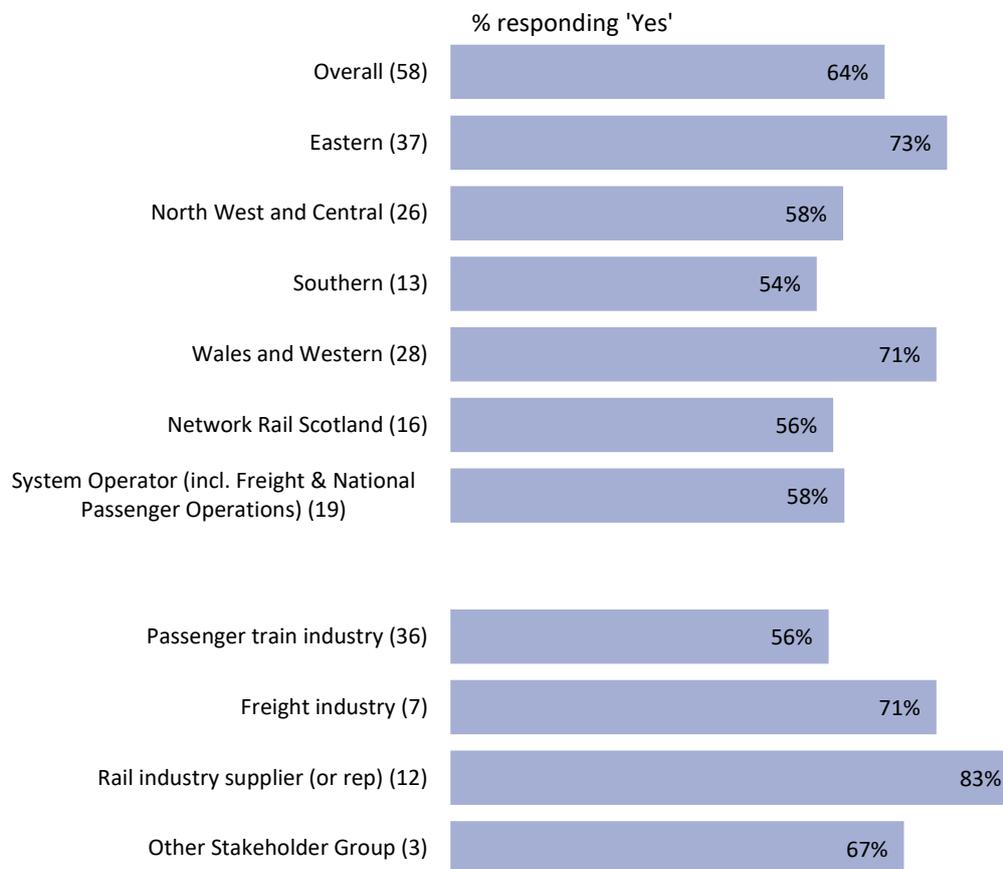
**Figure 29: Did Network Rail engage with you in relation to scorecards during the last 12 months? Yes – breakdown by business unit engaged with and stakeholder group. Those saying Yes.**



**Base: All Respondents (246) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 8.3 Those who said the Network Rail engaged with them in relation to scorecards during the last 12 months were asked if they provided sufficient information to inform their engagement. Around two thirds (64%) said Network Rail did provide sufficient information. This varies by business unit with those who engage with Eastern (73%) giving the highest rating and Southern (54% - seven out of 16 respondents) the lowest.
- 8.4 When broken down by stakeholder group, over four fifths (83% - ten out of 12 respondents) of rail industry suppliers said they were provided with sufficient information, whilst this dropped to 56% for those in the passenger train industry.

**Figure 30: Did Network Rail provide sufficient information to you to inform your engagement?  
Yes – breakdown by business unit engaged with and stakeholder group. Those saying Yes.**

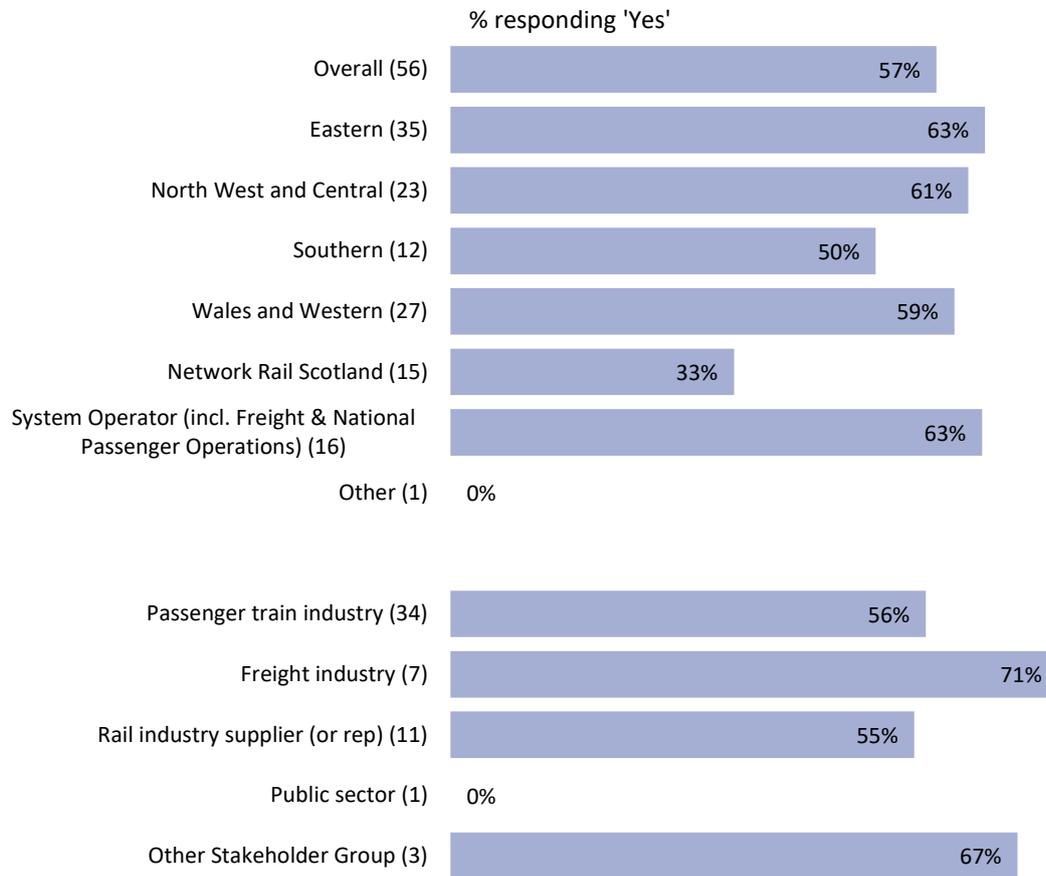


**Base: All Respondents who said Network Rail engaged with them in relation to scorecards during the last 12 months (58) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 8.5 Those who said that Network Rail engaged with them in relation to scorecards during the last 12 months were asked if they provided sufficient opportunity to contribute their views on scorecards as part of the engagement process. Almost three fifths (57%) said Network Rail did provide them with sufficient opportunity. This varies by business unit with those who engage with Eastern (63%) and the System Operator (63%) giving the highest rating and Network Rail Scotland (33% - five out of 15 respondents) the lowest.
- 8.6 When broken down by stakeholder group, over seven-in-ten (71% - five out of seven respondents) of those in the freight industry said Network Rail did provide them with sufficient opportunity to contribute their views, whilst this dropped to 55% (six out of 11 respondents) for rail industry suppliers.

**Figure 31: Did Network Rail provide you with sufficient opportunity to contribute your views on scorecards as part of the engagement process?**

**Yes – breakdown by business unit engaged with and stakeholder group. Those saying Yes.**

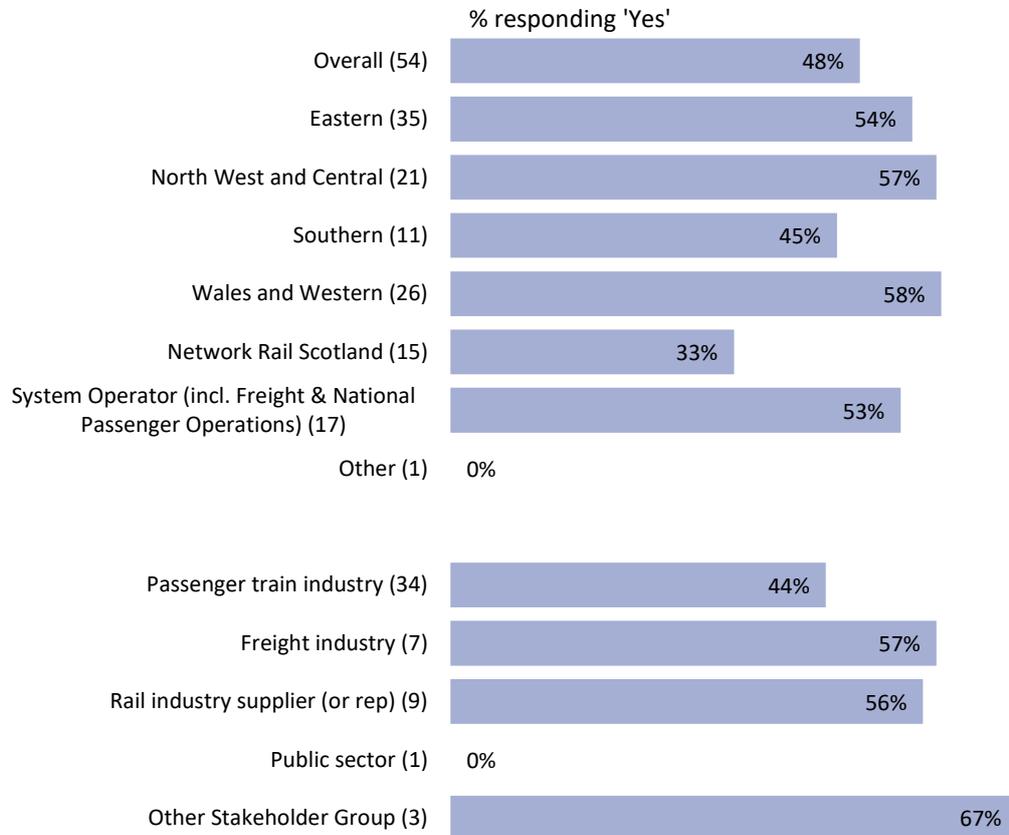


**Base: All Respondents who said Network Rail engaged with them in relation to scorecards during the last 12 months (56) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 8.7 Those who said that Network Rail engaged with them in relation to scorecards during the last 12 months were asked if they were informed how this engagement was used in the development of its scorecards. Around half (48%) said Network Rail did inform them. This varies by business unit with those who engage with Wales and Western (58%) giving the highest rating and Network Rail Scotland (33% - five out of 15 respondents) the lowest.
- 8.8 When broken down by stakeholder group, two out of the three respondents in the other stakeholder group said Network Rail did inform them about how the engagement was used in the development of its scorecards. This was lowest for the passenger train industry group (44%).

**Figure 32: Did Network Rail inform you how this engagement was used in the development of its scorecards?**

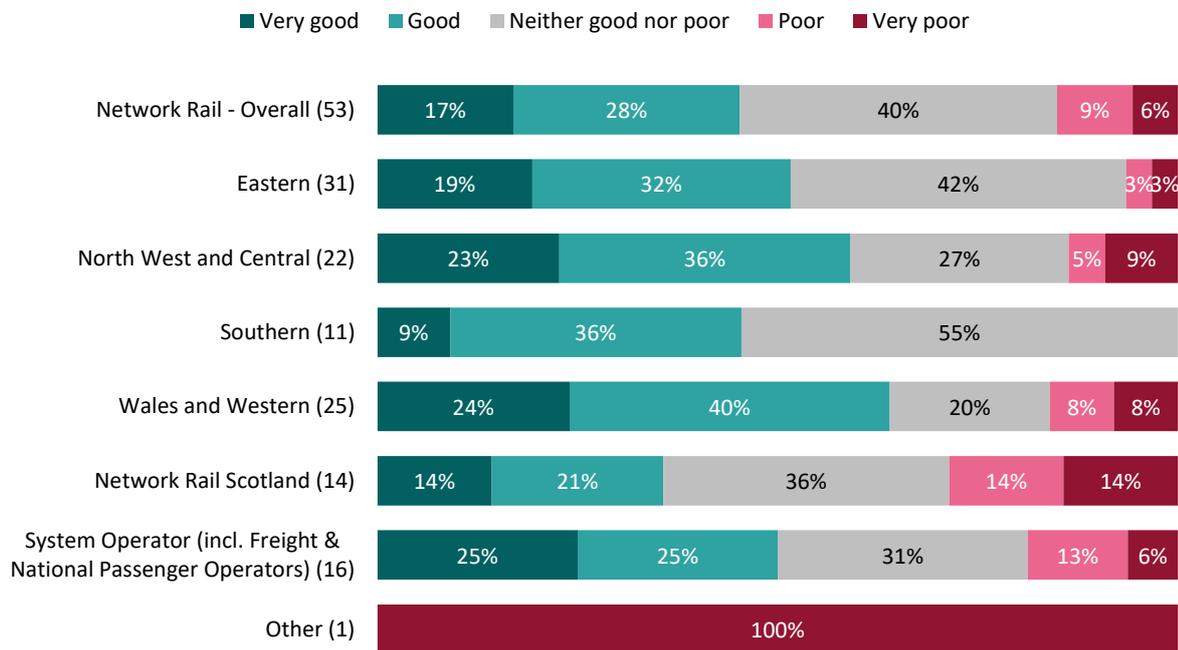
**Yes – breakdown by business unit engaged with and stakeholder group. Those saying Yes.**



**Base: All Respondents who said Network Rail engaged with them in relation to scorecards during the last 12 months (54) – Number of responses in each business unit/stakeholder group shown in brackets.**

- 8.9 Figure 33 shows that over two fifths (45%) of respondents who Network Rail engaged with in relation to scorecards rated the engagement as very good (17%) or good (28%).
- 8.10 Ratings vary by business unit; around two thirds of respondents who have engaged with the Wales and Western business unit (64%) rate engagement relating to scorecards very good or good, compared to less than two fifths of respondents who have engaged with Network Rail Scotland (36%).

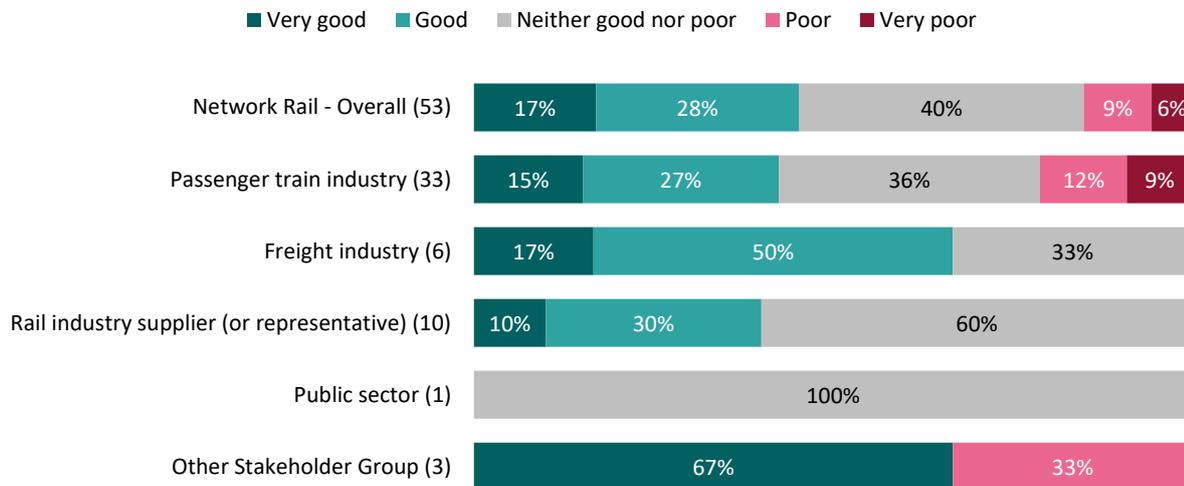
**Figure 33: How would you rate Network Rail's engagement in the development of its scorecards?  
Network Rail – overall, breakdown by business unit.**



**Base: All Respondents who said Network Rail engaged with them in relation to scorecards during the last 12 months – Number of respondents in each business unit shown in brackets.**

8.11 When broken down by stakeholder group, it can be seen that four of the six (67%) respondents in the freight industry and two of the three (67%) other stakeholders rated the engagement relating to scorecards as very good or good. This drops to four out of ten (40%) respondents who are rail industry suppliers.

**Figure 34: How would you rate Network Rail's engagement in the development of its scorecards?  
Network Rail – overall, breakdown by stakeholder group.**



**Base: All Respondents who said Network Rail engaged with them in relation to scorecards during the last 12 months – Number of respondents in each stakeholder group shown in brackets**

- 8.12 Respondents were asked for any other information they would like to be given on how Network Rail engaged with them around its business performance. There were 14 respondents who gave a response to this question which is too small a number to carry out a quantitative thematic coding of responses. However, a brief qualitative overview of the comments is provided below.
- 8.13 There were some comments giving positive feedback regarding Network Rail's engagement around its business performance:

*"All suppliers are invited to [name removed] team meetings at any stage which is very inclusive, and he always makes suppliers welcome at his table – this doesn't happen anywhere else." (Engaged with Eastern)*

*"The development of the charter train operator scorecard, led by the system operator, was very good and inclusive. No other route engaged with us." (Engaged with North West and Central, Wales and Western, System Operator, and at a general level)*

*"We developed a joint balanced score card that includes not only nr [National Rail] monitored elements but also TOC [train operating company] elements. This was a true collaborative approach to developing a fit for purpose scorecard." (Engaged with North West and Central)*

- 8.14 However, other respondents were critical:

*“Engagement was late, early march with a submission deadline for the end of March. The scorecard is poor, too many 'mandatory' measures meaning that everything is very lowly weighted and has no influence on day-to-day business management. Performance against the non-NR [non-Network Rail] measures doesn't appear to be the subject of any executive discussions throughout the year.” **(Engaged with Network Rail Scotland and System Operator)***

*“It is a difficult process as we are using different metrics. Mtrcl [MTR Elizabeth Line] for example are governed by PPM targets, whereas other operators are now using OT, CRMP, etc.” **(Engaged with Eastern and Wales and Western)***

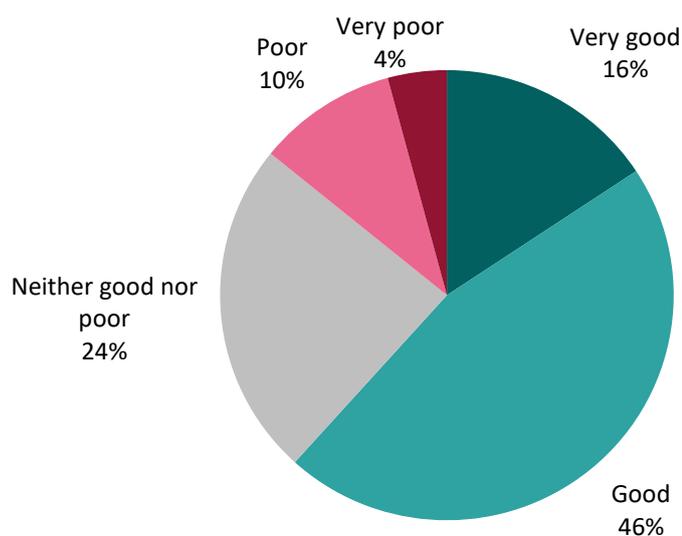
*“Scorecards add no value to the running of our business. They take away people's time and energy that might be better used making things happen.” **(Engaged with all business units)***

## 9. Summary

### Overall quality of engagement

- 9.1 Over three fifths (62%) of respondents rate the overall quality of Network Rail’s engagement with them during the last 12 months as either very good (16%) or good (46%). This is in-line with the Year 3 results (59% very good or good).
- 9.2 However, 14% felt the engagement was poor (10%) or very poor (4%), whilst around a quarter (24%) felt the engagement was neither good nor poor. This is, again, in-line with the year 3 results (16% poor or very poor; 25% neither good nor poor).

**Figure 35: Overall, how would you rate the quality of Network Rail’s engagement with you during the last 12 months?**



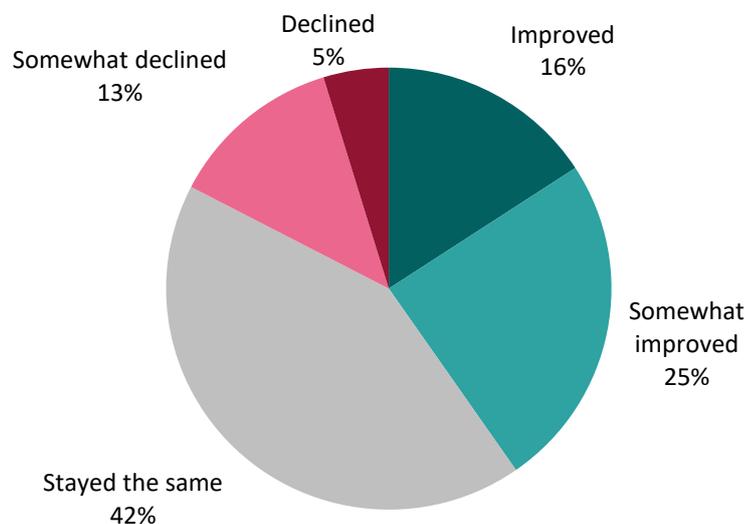
**Base: All Respondents (261).**

- 9.3 When the proportion of respondents who rate the overall quality of engagement during the last year as very good or good is considered by sub-group, there are no significant differences.

## Change in the quality of engagement

- 9.4 Two fifths (40%) of respondents think that the quality of Network Rail’s engagement has improved or somewhat improved over the past year, which is in-line with the Year 3 results (41% improved or somewhat improved).
- 9.5 Over two fifths (42%) think the quality of engagement has stayed the same, whilst 17% think that the quality of engagement has declined or somewhat declined. This is, again, in-line with year 3 results (44% stayed the same; 15% declined or somewhat declined).

**Figure 36: During the last 12 months, in your opinion has the quality of Network Rail’s engagement with you...**



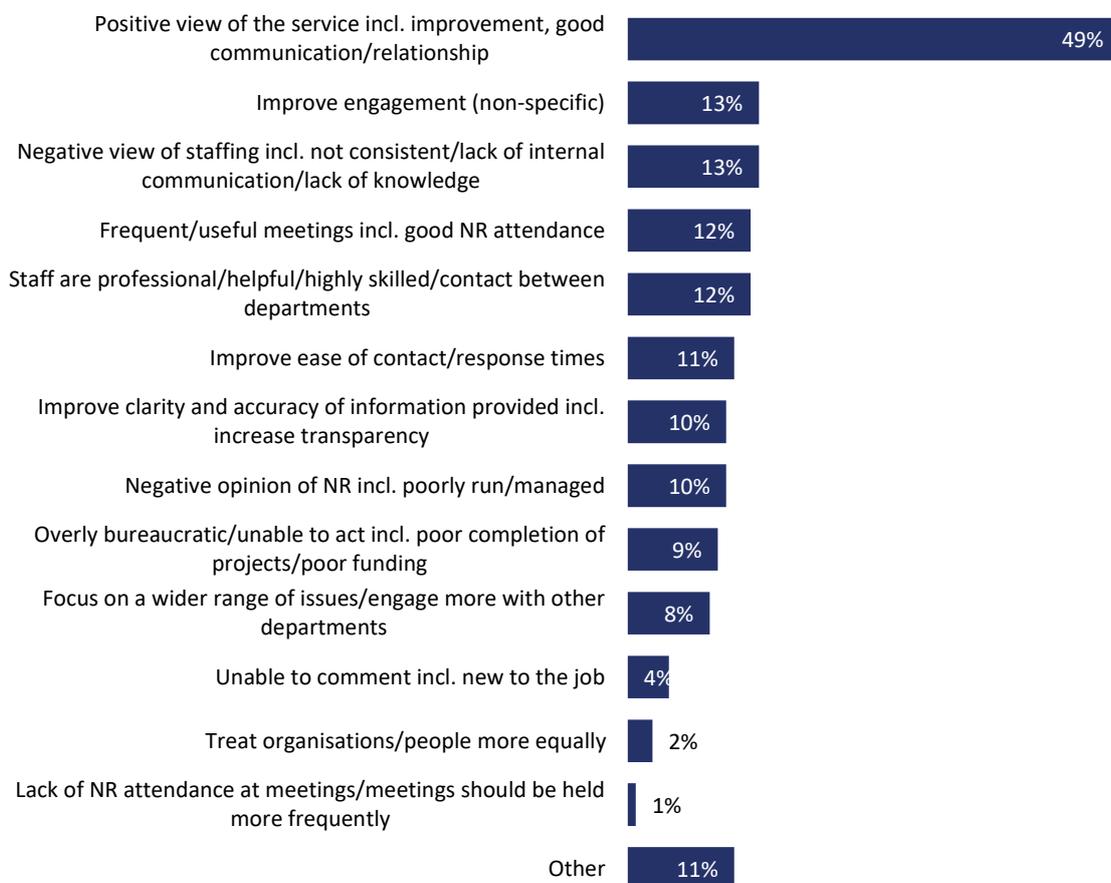
**Base: All Respondents (253).**

- 9.6 When the proportion of respondents who feel the quality of engagement has improved is considered by sub-group it can be seen that respondents in the ‘other’ stakeholder group (27%) and those who engaged primarily with Network Rail Scotland (16%) were significantly less likely to say that engagement has improved. On the other hand, those that had engaged with North West and Central (54%); Southern (51%) or Wales and Western (52%) were significantly more likely to think Network Rail’s engagement has improved over the past year.

## Further Comments

- 9.7 Respondents were asked if they had any areas of good practice or areas for improvement around Network Rail’s engagement. Figure 40 summarises the main themes arising from the responses given.
- 9.8 Around half (49%) of respondents mentioned that they had a positive view of the service – this is higher than the 13% of respondents who mentioned they had a negative view. The 'frequent/useful meetings' and 'professionalism, skill and helpfulness of Network Rail’s staff' was mentioned by 12% of respondents.
- 9.9 Areas for improvement that were commonly mentioned include: improving engagement (13%); improving the ease of contact/response times (11%); improving clarity and accuracy of information provided (10%); a general negative opinion of Network Rail including it being poorly run/managed (10%); and Network Rail being overly bureaucratic (9%).

**Figure 37: Finally, based on your experience and reflecting on your responses across this survey, please share any areas of good practice or areas for improvement around Network Rail's engagement with you during the last 12 months?**



**Base: All Respondents who gave further comments – 123; Total number of responses – 202.**

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# Appendix

## Questionnaire

### **ANNUAL ASSESSMENT OF NETWORK RAIL'S STAKEHOLDER ENGAGEMENT**

#### **ONLINE SURVEY QUESTIONS**

#### **YEAR 4 OF CONTROL PERIOD 6 (CP6)**

**Version: 16 March 2023**

### **BACKGROUND AND PURPOSE**

#### **Introduction - Page 1**

The Office of Rail and Road (ORR) is the independent safety and economic regulator for Britain's railways. We hold Network Rail to account against its network licence. Network Rail's network licence contains specific requirements around how it engages with its stakeholders. More information about ORR and what we do can be found [here](#).

We would like to get your views on how Network Rail engages with you, one of its key stakeholders. Please would you take the time to share your experience of Network Rail's stakeholder engagement by taking part in this short survey? This survey is available until 30 April 2023 and covers the period 01 April 2022 to 31 March 2023.

This survey forms one part of ORR's annual assessment of the quality of Network Rail's Stakeholder Engagement during Control Period 6 (2019 – 2024).

All Network Rail stakeholders aged at least 16 years are eligible to take part. It should take around 10-15 minutes to complete. If you have trouble viewing any part of this survey, you can enable 'accessibility mode' by clicking on the accessibility icon (person inside a circle) at the top right of the screen.

**Introduction - Page 2**

This survey is being run by Opinion Research Services (ORS), an independent research company, on behalf of ORR.

ORR is the data controller for any personal data you share within your survey response. The survey responses will be processed by Opinion Research Services (ORS) in line with data protection regulations. Only anonymous, aggregated data will be shared directly with ORR and you will not be identified in the reported results. Your contact details are held by ORR and have not been shared with ORS.

ORR's privacy notice sets out how it handles personal data including your rights and how to exercise them. ORR's privacy notice is available [here](#). ORS's privacy notice is available [here](#).

Anonymous data will be held securely by ORR until ORR's annual assessment is published in Autumn 2023 and it will then be deleted. Any information from the survey responses which could identify an individual (e.g., an IP address) will be held securely by ORS and will be deleted by the end of July 2023 when the data analysis and evaluation process has been completed.

If you have queries about the survey, please contact Alex Hymer at ORS by email on [Alex.Hymer@ors.org.uk](mailto:Alex.Hymer@ors.org.uk) or you can contact Lynn Armstrong at ORR by email on [lynn.armstrong@orr.gov.uk](mailto:lynn.armstrong@orr.gov.uk).

ORS also strictly adheres to the Market Research Society (MRS) Code of Conduct - You can contact the Market Research Society on 0800 975 9596

If you have queries about the survey, please contact Catherine Wall at ORS by email on [catherine.wall@ors.org.uk](mailto:catherine.wall@ors.org.uk), or you can contact Lynn Armstrong at ORR by email on [lynn.armstrong@orr.gov.uk](mailto:lynn.armstrong@orr.gov.uk).

ORS also strictly adheres to the Market Research Society (MRS) Code of Conduct - You can contact the Market Research Society on 0800 975 9596

**TELL US ABOUT YOU****B1 Which stakeholder group do you belong to?****Please select one group.**

- Passenger train industry
- Freight industry
- Rail industry supplier (or representative)
- Infrastructure manager
- Passenger representative
- Public sector bodies
- Elected representatives
- Community Rail Partnership
- Local Enterprise Partnership
- Charity
- Heritage body
- Other – please specify

--

**B2 Which part(s) of Network Rail did you engage with over the last 12 months?****Please select all that apply.****Please note there will be follow-up questions about your engagement with each of the areas you select.****If you wish to reduce the number of questions you are asked/length of time to complete the survey, please only select the areas for which you feel able to answer follow-up questions.**

- Eastern
- North West and Central
- Southern
- Wales and Western
- Network Rail Scotland
- System Operator (including Freight & National Passenger Operators)
- I engage with Network Rail at a general level
- Other (please specify below):
- I did not engage with Network Rail - Terminate survey


**[Ask if more than one area checked at B2]**

**(B3) Which part of Network Rail did you primarily engage with during the last 12 months?**

**Please select one option.**

**You will still be able to respond to questions regarding all the parts of Network Rail that you have engaged with**

Eastern

North West and Central

Southern

Wales and Western

Network Rail Scotland

System Operator (including Freight & National Passenger Operators)

I engage with Network Rail at a general level

Other – please specify

### **Principles of Stakeholder Engagement – Part 1**

**As a condition of its licence, ORR require Network Rail to meet the following four principles of stakeholder engagement:**

**Inclusive, Effective Well-governed, Transparent**

**We define the principle of being Inclusive as engagement which seeks to involve all relevant stakeholders in a fair and proportionate manner, including by adopting different approaches to reflect stakeholders' different capabilities and interests.**

**(B4) In your opinion, how would you rate Network Rail's engagement with you regarding the principle of being Inclusive?**

**Please rate the following part(s) of Network Rail that you engaged with.**

Very good

Good

Neither good nor poor

Poor

Very Poor

Don't know

**We define the principle of being Effective as engagement which supports delivery of a safer, more efficient and better used rail network, including by ensuring that stakeholders' views are duly taken into account.**

**(B5) In your opinion, how would you rate Network Rail's engagement with you regarding the principle of being Effective?**

**Please rate the following part(s) of Network Rail that you engaged with.**

Very good

Good

Neither good nor poor

Poor

Very Poor

Don't know

**We define the principle of being Well-governed as engagement which is underpinned by effective processes and governance arrangements that encourage meaningful engagement.**

**(B6) In your opinion, how would you rate Network Rail's engagement with you regarding the principle of being Well-governed?**

**Please rate the following part(s) of Network Rail that you engaged with.**

Very good

Good

Neither good nor poor

Poor

Very Poor

Don't know

**We define the principle of being Transparent as sufficient information is made available to enable effective engagement with stakeholders.**

**(B7) In your opinion, how would you rate Network Rail's engagement with you regarding the principle of being Transparent?**

**Please rate the following part(s) of Network Rail that you engaged with.**

Very good

Good

Neither good nor poor

Poor

Very Poor

Don't

**Please share any further comments on Network Rail's engagement with you regarding the principles of Inclusive, Effective, Well-governed, and/or Transparent stakeholder engagement in the box below.**

**(B8) Please specify, if appropriate, which part of Network Rail you refer to in your feedback in the box below.**

**Text Box Included Here**

### **Annual Business Planning**

**Network Rail's annual business planning includes activities such as setting priorities and planning activities to operate, maintain and renew the railway - regardless of the time frame.**

**(B9) Did Network Rail engage with you about its annual business planning during the last 12 months.**

Yes

No

Don't Know

**[Only ask if B9 = Yes]**

**(B10) How would you rate Network Rail's engagement with you about its annual business planning?**

**Please rate the following part(s) of Network Rail that you engaged with.**

Very good

Good

Neither good nor poor

Poor

Very poor

Don't know

[Only ask if B9 = Yes]

**(B11) Please include any further comments on annual business planning engagement in the box below. If possible, please give examples, any relevant details such as how you engaged and any suggestions on how engagement with Network Rail in this area could be improved.**

**Please specify, if appropriate, which part of Network Rail you refer to in your feedback in the box below.**

Text Box Included Here

### **Control Period 7 (CP7) Strategic Business Planning**

**ORR launched Periodic Review 23 (PR23) in summer 2021. PR23 will set the funding and outputs that Network Rail must deliver in Control Period 7 (CP7) from 2024 – 2029. As part of the process, Network Rail created Control Period 7 (CP7) Strategic Business Plans which should reflect stakeholder priorities.**

**(B12) Did Network Rail engage with you in relation to its Control Period 7 (CP7) Strategic Business Planning during the last 12 months?.**

Yes

No

Don't Know

[Only ask if B12 = yes]

**(B13) Did Network Rail provide sufficient information to you to inform your engagement?**

**Please answer for the following part(s) of Network Rail you engaged with.**

Yes

No

Don't Know

[Only ask if B12= yes]

**(B14) Did Network Rail provide you with sufficient and timely opportunities to contribute your views in the stakeholder engagement process?**

**Please answer for all the following part(s) of Network Rail you engaged with.**

Yes

No

Don't know

**[Only ask if B12 = yes]**

**(B15) Did Network Rail inform you how this engagement was subsequently used in the development of its Control Period 7 (CP7) Strategic Business Plan?**

**Please answer for the following part(s) of Network Rail you engaged with.**

Yes

No

Don't Know

**[Only ask if B12 = Yes]**

**(B16) How would you rate Network Rail's engagement with you on its Control Period 7 (CP7) Strategic Business Planning?**

**Please rate the following parts(s) of Network Rail you engaged with.**

Very good

Good

Neither good nor poor

Poor

Very poor

Don't know

**[Only ask if B12 = Yes]**

**(B17) Please include any further comments on Control Period 7 (CP7) Strategic Business Plan engagement in the box below.**

**If possible, please give examples, any relevant details such as how Network Rail engaged with you, and any suggestions on how engagement with Network Rail in this area could be improved.**

**Please specify, if appropriate, which part of Network Rail you refer to in your feedback in the box below.**

**Text Box Included Here**

**Enhancement Delivery Plan Engagement**

Enhancements Delivery Plans set out the enhancement commitments that Network Rail has made to Department of Transport and Transport Scotland. ‘Enhancements’ refer to the development of new infrastructure, for example, the construction and completion of Crossrail in August 2022 which delivered a new integrated railway route through central London.

An aim of these plans is to provide visibility on infrastructure commitments and their status to stakeholders.

The Enhancements Delivery Plan for England and Wales can be accessed [here](#).

The Enhancements Delivery Plan for Scotland can be accessed [here](#).

**(B18) Did the following part(s) of Network Rail engage with you on the planning and delivery of railway enhancements during the last 12 months.**

Yes

No

Don't know

**(B19) Which of the following best describes your knowledge of the Enhancements Delivery Plan(s)?**

Know very well (STRONG)

Know a fair amount about (GOOD)

Know just a little (LITTLE)

Heard of but know nothing about (SOME AWARENESS)

Never heard of (UNAWARE)

**[Only ask if B19=**

**Know very well**

**Know a fair amount**

**Know just a little]**

**(B20) In your opinion, does the Enhancements Delivery Plan(s), in its current format, provide you with the information you require to plan your business?**

Fully

Partially

Not at all

[Only ask if B20 =

Partially

Not at all]

**(B21) You said that the Enhancements Delivery Plan(s) does not fully provide you with the information you require to plan your business. Have you discussed this with Network Rail?**

Yes

No

[Only ask if B21 = Yes]

**(B22) Did Network Rail provide you with any additional information on enhancement schemes?**

Yes

No

[Only ask if B21 = Yes]

**(B23) If there were any other outcomes from discussing information required to plan your business, with Network Rail, please provide details below.**

Text box included here.

**(B24) Considering all the sources of information you have on Network Rail's enhancements, in your opinion, would you say that you have the information you need to plan your business?**

Yes

No

Don't know

Text Box Included Here

[Only ask if B24 = No]

**(B25) What further information do you require from Network Rail to plan your business?**

Please specify, if appropriate, which part of Network Rail you refer to in your feedback in the box below.

Text Box Included Here

**Scorecard Engagement**

Network Rail scorecards capture key outputs that each route and the System Operator plan to deliver across a range of activity including financial and train performance. Network Rail's regions engage with their stakeholders to understand their priorities and determine the measures and targets to be included on scorecards for the coming year.

**(B26) Did Network Rail engage with you in relation to scorecards during the last 12 months?**

Yes

No

Don't know

**[Only ask if B26 = yes]**

**(B27) Did Network Rail provide sufficient information to you to inform your engagement?**

**Please answer for the following part(s) of Network Rail you engaged with.**

Yes

No

Don't Know

**[Only ask if B26 = yes]**

**(B28) Did Network Rail provide you with sufficient opportunity to contribute your views on scorecards as part of the engagement process?**

**Please answer for the following part(s) of Network Rail you engaged with.**

Yes

No

Don't Know

**[Only ask if B26 = yes]**

**(B29) Did Network Rail inform you how this engagement was used in the development of its scorecards?**

**Please answer for the following part(s) of Network Rail you engaged with.**

Yes

No

Don't Know

**[Only ask if B26 = yes]**

**(B30) How would you rate Network Rail's engagement in the development of its scorecards.**

**Please rate the following part(s) of Network Rail you engaged with.**

Very good

Good

Neither good nor poor

Poor

Very poor

Don't know

**[Only ask if B26 = yes]**

**(B31) Please use this space to provide any other information you would like to give on how Network Rail engaged with you around its business performance.**

**Please specify, if appropriate, which part of Network Rail you refer to in your feedback in the box below.**

**Text Box Included Here**

### **Summary**

**(B32) Overall, how would you rate the quality of Network Rail's engagement with you during the last 12 months?**

Very good

Good

Neither good nor poor

Poor

Very poor

Don't know

**(B33) During the last 12 months, in your opinion has the quality of Network Rail’s engagement with you:**

Improved

Somewhat improved

Stayed the same

Somewhat declined

Declined

Don’t know

**(B34) Finally, based on your experience and reflecting on your responses across the survey, please share any areas of good practice or areas for improvement around Network Rail’s engagement with you during the last 12 months?**

**Please specify, if appropriate, which part of Network Rail you refer to in your feedback in the box below.**

**Text Box Included Here**

**SECTION I:        THANK YOU AND NEXT STEPS**

**Thank you for taking the time to complete this survey and share your experience of Network Rail engagement during the last year.**

**The full report on this stakeholder engagement assessment will be published on the ORR website: [www.orr.gov.uk](http://www.orr.gov.uk) in autumn 2023.**