**

**ORR’s ‘Holding Network Rail to Account’ policy for CP6**

# A consultation on a new policy for holding Network Rail to Account: pro forma

This pro forma is available to those that wish to use it to respond to our ORR’s ‘Holding Network Rail to Account’ policy for CP6’consultation. Other forms of response (e.g. letter format) are equally welcome, though we would be grateful if these could be structured broadly in line with the areas listed below (where you wish to comment), to aid our review of responses.

Please send your response to pr18@orr.gsi.gov.uk by **25 January 2019**.

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| **Full name\*** |  |
| **Job title\*** |  |
| **Organisation** |  |
| **Email\*** |  |

\*This information will not be published on our website.

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| **ORR’s new policy – ‘Holding Network Rail to Account’ (Chapter 1: Introduction)** |
| **Q1. Do you agree with our proposal to create a new, standalone policy for holding Network Rail to account, replacing the existing monitoring and economic enforcement policy for Network Rail?** |
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|  **ORR’s new policy – ‘Holding Network Rail to Account’ (Chapter 2: Our aim and approach)** |
| **Q2. Do you agree with the policy aims and approach, and is there anything else we should set out in the policy to help meet these objectives?** |
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| **ORR’s new policy – ‘Holding Network Rail to Account’ (Chapter 3: Routine monitoring and assessment)** |
| **Q3. What are your views on our proposals for routine monitoring and assessment, specifically:*** **Monitoring and assessing Network Rail’s performance;**
* **Monitoring and assessing the strength of route and System Operator-level accountability;**
* **our approach to risk-based and targeted monitoring; and**
* **the aims of our public reporting?**
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| **ORR’s new policy – ‘Holding Network Rail to Account’ (Chapter 4: Investigation and early resolution)** |
| **Q4. What are your views on our proposed approach, specifically:*** **the factors we will consider when assessing concerns;**
* **the actions we may take (such as using ORR hearings and requiring improvement plans); and**
* **communicating our investigations publicly?**
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| **ORR’s new policy – ‘Holding Network Rail to Account’ (Chapter 5: Enforcement)** |
| **Q5. What are your views on our proposed approach to enforcement, specifically:*** **the use of enforcement orders;**
* **the use of financial penalties; and**
* **the introduction of regulatory enforcement penalties?**
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| **ORR’s new policy – ‘Holding Network Rail to Account’ (Penalties statement - Annex B)**) |
| **Q6. What are your views on the penalties statement, in particular, the factors we should consider in deciding whether to impose a (financial) penalty, and the decision on the size of any (financial) penalty?** |
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| **ORR’s new policy – ‘Holding Network Rail to Account’** |
| **Q7. Do you have any other comments or views on ORR’s new policy?**  |
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Thank you for taking the time to respond.