

Steve Fletcher

Lead director for North West & Central Region

By email

Tim Shoveller

Managing Director, North West & Central Region

8 December 2020

Dear Tim

Progress against the findings of the ORR's investigation into Network Rail's impact on levels of poor performance (pre-Covid) in the North West and Central Region

In May 2020 we published the ORR's [conclusions](#) from its investigation into Network Rail's impact on poor performance in the North West and Central (NW&C) region. In summary, we found that Network Rail had identified the main causes of poor performance and had started to develop remedial action plans, but these were not supported by time bound milestones. We consolidated our conclusions into a series of 25 recommendations that would strengthen these improvement plans.

Since then, we have closely monitored what action the region has been taking to address our findings and I am writing to set out ORR's latest assessment of Network Rail's progress. I would like to thank your teams for engaging openly and constructively with ORR, providing regular progress updates and demonstrating a clear commitment to improve delivery.

Summary of progress

On balance, and in light of current circumstances around the pandemic and Network Rail's transformation programme, we consider there has been reasonably good progress against the majority of recommendations, although in some areas progress has been slower than we would have expected. The attached appendix sets out our detailed assessment (following the structure of the May 2020 Investigation Report) but I wanted to draw your attention to some key points in each area.

Train Performance and Operational Management

There has been positive progress on performance management capability, where we have seen Network Rail working collaboratively with train operators on producing

performance strategies. However, we have seen slower than expected progress on three specific areas:

- the signalling regulation policy;
- joint contingency planning with train operators for the introduction of new trains; and
- the regional operating strategy board.

Timetabling, Enhancements and Track Access

There has been some progress against the four recommendations, with improvements regarding timetabling; these areas are principally being addressed by the System Operator and, as such, we are taking this forward directly with them. We have continuing concerns regarding train access, and require the region to work closer with operators, communicating effective decisions and submitting applications in a timely manner.

Asset Management

There has been varied progress against the nine recommendations regarding asset management but only one is close to completion, so there is more work to do. The region needs to develop a robust monitoring and reporting process that is able to measure the impact of the improvement actions implemented, and differentiate these from wider environmental factors.

Project Alpha, PPF and Engagement

There has been good progress with the three recommendations regarding Project Alpha, PPF and Engagement.

Next steps

We will continue to closely monitor delivery and hold the region to account on progress against the recommendations. We will also work with your teams to assess the benefits of those activities, which have already been incorporated into normal business.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Steve Fletcher', written in a cursive style.

Steve Fletcher

Appendix – ORR’s assessment: North West & Central (NW&C) Region’s progress against recommendations as at 24 November 2020

This appendix provides ORR’s latest detailed assessment. For each area, a summary of progress is included, with further detail set out for each recommendation below. A RAG score has been used as part of our assessment to reflect the status of each recommendation as at 24 November 2020. The scores reflect the following:

	Green: NW&C has made sufficient progress to date with the recommendation.
	Amber: NW&C has made some progress to date with the recommendation.
	Red: NW&C has not made the expected progress to date with the recommendation.

ORR will continue to monitor NW&C’s delivery in accordance with its Holding Network Rail to Account processes. ORR will publish a 12 month assessment of progress against the recommendations in June 2021, subject to any required regulatory intervention.

<p>Train performance and Operational management</p> <p>There has been mixed progress against the nine recommendations, with some positive improvement on train performance management, but less so on operational management.</p> <p>With regards to collaborative working with industry, ORR received all performance strategies and noted good engagement between Network Rail and operators in the development of the documents. ORR will continue to monitor the delivery of the strategies.</p> <p>On performance management capability, ORR notes NW&C’s positive collaboration with operators on Risk Management Maturity Model for Performance (RM3-P) assessments, with completion of the first assessment with West Midlands Trains, and repeat assessments with other operators. In particular, ORR has seen evidence that the region is well resourced to deliver RM3-P, with a specialist manager in post and good links to the national RM3-P team. Assessments have also been published on the PIMS Good Practice Library and there is evidence of the sharing of good practice.</p> <p>There has been a lack of progress to date regarding the region working with operators to understand the operational implications of new fleet introductions. The region must make faster progress given the short timescales for entry into</p>
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service (e.g. class 777s), and it should produce detailed milestone plans to protect performance once new vehicles enter passenger service.

The region has made slow progress on signalling recommendations; ORR has seen the signalling regulation policy¹ however there has been no dates provided as to when the policy will be delivered or embedded. Related to this, ORR would like to see improved communication better Network Rail operations and Operator control staff on the North-West and West Coast South Mainline routes.

There has also been slow progress to date with regards to the development of the strategy to exploit the use of Automatic Route Setting (and other supporting technology), to identify where it could be employed elsewhere on the network. The regional operating strategy team is carrying a number of vacancies and while Network Rail do not think that this is not hampering progress in delivering the regional operating strategy, ORR would like to see more evidence on this.

ORR will continue to closely monitor the train performance and operational management recommendations through regular engagement with the region's performance and operational teams and will scrutinise evidence of delivery.

Rec. number	Recommendation	ORR RAG Score	ORR assessment on progress against recommendation
ORR001a	Network Rail should actively engage with train operators to help reduce station dwell times and enhance train performance. (North West route)		❖ Some passenger focused signage has been introduced at Manchester Piccadilly. However some straightforward operational improvements at Manchester Piccadilly have not addressed the inadequate control of operational dispatch at Manchester Piccadilly, notably platforms 13 and 14, which results in poorer right time departures.
ORR001b	Network Rail should actively engage with train operators to help reduce station dwell times and enhance train performance. (Central route)		❖ While dwell times have decreased at key locations in the region, this is part of a broader national trend of good performance caused by a reduction in train services and passengers due to the COVID-19 pandemic.
ORR001c	Network Rail should actively engage with train operators to help reduce station dwell times and enhance train		

¹ This policy was sent to ORR on 27 November 2020.

	performance. (West Coast South route)		<ul style="list-style-type: none"> ❖ It is difficult at this time to prove a causal link between improvement activities and this better performance. However, we have seen some engagement in reducing improving dispatch in North West and West Coast South routes. ORR recognise the station control arrangements at Birmingham New Street in the region as best practice. ❖ In relation to West Coast South route, Updates from the Euston task force have been requested but not yet received.
ORR002	Network Rail should review the failings of the Manchester Oxford Road ARS system with the relevant technical specialists and the System Operator (SO), to ensure its functionality is fully utilised.		<ul style="list-style-type: none"> ❖ Following the publication of the investigation report, further detail has come to light through our engagement with the region that has warranted the justification of withdrawing this recommendation. It is not deliverable, given the technical constraints with the signalling system that were not disclosed when our review report was published.
ORR003	Network Rail should also review where such technology is practical to employ elsewhere on the network ² .		<ul style="list-style-type: none"> ❖ There has been little progress to date with regards to the development of the strategy to exploit the use of Automatic Route Setting (and other supporting digital technology), to identify where it could be employed elsewhere on the network. ❖ The regional operating strategy team is carrying a number of vacancies. Network Rail does not think that this is hampering progress in delivering the regional operating strategy. We recognise the good initiatives in the region, including developing its own strategy team, however, based on our engagement with regional staff and evidence

² This recommendation relates to ARS technology in other locations across the region.

			presented to date, ORR has concluded there are tangible risks around resourcing which could impede progress. ORR would like to see more evidence on this.
ORR004	Signalling regulation policy should be reviewed for consistency across the region, and optimised for train service performance.		❖ ORR has seen the signalling regulation policy ³ however there has been no dates provided as to when the policy will be delivered or embedded.
ORR005a	Where possible, Network Rail should accelerate plans to co-locate signallers and TOC/FOC controllers and endeavour to share relevant information to help improve service recovery. This will require industry collaboration. (North West route)		<ul style="list-style-type: none"> ❖ North West route has no plans in place to maximise opportunities for colocation. A feasibility study would provide greater assurance. ❖ ORR has sought feedback on the recent colocation with West Midlands Trains in West Midlands Signalling Centre (Central route) and plans for colocation with Avanti in Rugby ROC (West Coast South route). ORR will continue to monitor this progress.
ORR005b	Where possible, Network Rail should accelerate plans to co-locate signallers and TOC/FOC controllers and endeavour to share relevant information to help improve service recovery. This will require industry collaboration. (Central route)		<ul style="list-style-type: none"> ❖ Network Rail and operators both report that the current environment (Emergency Management Arrangements (EMAs)/Emergency Recovery Management Arrangements (ERMAs), and reduced service frequency in Covid TT) has resulted in better engagement and flow of information between the region and its operators.
ORR005c	Where possible, Network Rail should accelerate plans to co-locate signallers and TOC/FOC controllers and endeavour to share relevant information to help improve service recovery. This will require industry collaboration. (West Coast South route)		
ORR006	Network Rail should consider opportunities for sharing and learning		❖ NW&C hosted a virtual regional performance seminar in September 2020, which was well attended by

³ This policy was sent to ORR on 27 November 2020.

	best practice from within the region and other regions/routes, applying the learning where relevant.		<p>industry partners from within and outside the region. Presentations on performance were given by CrossCountry & Southeastern amongst others. The Performance Improvement Management System (PIMS) good practice library is regularly and increasingly used to share from and to the region.</p> <ul style="list-style-type: none"> ❖ Network Rail Operations in NW&C do not regularly provide opportunities for signalling staff to get out of their home location for development or knowledge sharing purposes, other than for contribution to timetable change processes. This should be explored further.
ORR007	Network Rail should continue to arrange self-assessments of both itself and operators in the region, across all categories of the RM3P framework, working on areas of weakness to reach high levels of compliance.		<ul style="list-style-type: none"> ❖ ORR has noted NW&C region's positive collaboration with operators on RM3-P assessments, with completion of the first assessment with West Midlands Trains, and repeat assessments with other operators. These have resulted in the production of a road map of key actions to improve scores. ❖ The region is well resourced to deliver RM3-P, with a specialist manager in post, and good links to the national RM3-P team. Assessments have been published on the PIMS Good Practice Library.
ORR008a	Network Rail should continue to work closely with TOCs/FOCs to understand their aspirations regarding new fleet introductions, engaging at an early stage to develop joint contingency plans with operators to respond rapidly to 'on the day' failure incidents. (North West route)		<ul style="list-style-type: none"> ❖ ORR considers there has been a lack of progress to date regarding NW&C working with operators to understand the operational implications of new fleet introductions. ❖ The region has been working with operators including West Midlands Trains, Avanti and Merseyrail on associated infrastructure works, testing and acceptance of new vehicles. However there is no evidence of an

ORR008b (1&2)	Network Rail should continue to work closely with TOCs/FOCs to understand their aspirations regarding new fleet introductions, engaging at an early stage to develop joint contingency plans with operators to respond rapidly to 'on the day' failure incidents. (Central route)		<p>information and knowledge cascade from sponsorship teams to frontline staff who are responsible for delivering performance.</p> <ul style="list-style-type: none"> ❖ Performance risk associated with new fleet introduction on Merseyrail was insufficiently addressed in the most recent joint performance improvement strategy. ❖ Some operational practices have been refined to assist with Northern and Transpennine Express new fleet introductions, such as using Long Term Planning/Short Term Planning train paths for driver training instead of Very Short Term Planning, which has allowed signallers to better control the train service.
ORR008c	Network Rail should continue to work closely with TOCs/FOCs to understand their aspirations regarding new fleet introductions, engaging at an early stage to develop joint contingency plans with operators to respond rapidly to 'on the day' failure incidents. (West Coast South route)		<ul style="list-style-type: none"> ❖ Faster progress is required given the short timescales for entry into service (e.g. class 777s), with detailed milestone plans produced to protect performance once new vehicles enter passenger service. The region should be working with operators on driver training programmes, unit failure and assistance practices, and service recovery plans.
ORR009a	Joint performance strategies should be data-driven, forecasting as accurately as possible known performance risks, including areas of operator responsibility such as traincrew resource levels and timetable development plans. (North West route)		<ul style="list-style-type: none"> ❖ ORR has noted good progress with the joint Network Rail and Operator performance strategies. ORR will continue to monitor their effectiveness. ❖ Compared with 2019/20, the region has made significant progress demonstrated by its work with Northern, TPE and Chiltern. These efforts are enabling continued improvement with Avanti, West Midlands Trains and Merseyrail.
ORR009b	Joint performance strategies should be data-driven, forecasting as accurately as possible known		

	performance risks, including areas of operator responsibility such as traincrew resource levels and timetable development plans. (Central route)		
ORR009c	Joint performance strategies should be data-driven, forecasting as accurately as possible known performance risks, including areas of operator responsibility such as traincrew resource levels and timetable development plans. (West Coast route)		

Timetabling, Enhancements and Track Access

There has been some progress against the four recommendations, which relate to timetabling and train access.

The recommendations relating to access and timetabling were principally addressed to the System Operator⁴. ORR's recent mid-year assessment of the System Operator addressed the themes of the recommendations⁵.

The Programme Management Office (PMO)⁶ continues to perform well in its timetable assurance function. Its maturing and proactive role was particularly evident during the development of the contingency timetables. ORR welcomes the PMO's leadership of a new D82 work stream (to assess applications 82 weeks in advance), which is focused on improving early engagement of access rights and timetable planning in order to recover the process to comply with the agreed timescales. ORR's letter noted that the assessment of capacity can be complex and at times contentious, particularly

⁴ The System Operator is the business unit within Network Rail that is responsible for strategic planning, managing changes to what the network delivers, managing Network Rail's Sale of Access Rights framework, and producing the timetable.

⁵ Letter from John Larkinson to Andrew Haines: System Operator 2020-21 mid-year review (published 4 December 2020), [here](#).

⁶ The Industry Timetable Assurance Programme Management Office (PMO) was established by Network Rail following the Inquiry into the May 2018 timetable disruption to provide assurance on risk management associated with timetable changes.

against a backdrop of ongoing industry change. Network Rail is required to improve aspects of its processes for producing and making available information about capacity.

In NW&C, ORR has asked Network Rail to improve its compliance with the Access & Management Regulations 2016⁷ timescales in relation to Congested Infrastructure Declarations, to ensure their associated access rights policies are correct and to improve the quality and timeliness of evidence and capacity analysis provided for access applications.

ORR will continue to monitor the access and timetabling recommendations through regular engagement with the System Operator and NW&C, and draw on evidence from the Sale of Access Rights process.

Rec. number	Recommendation	ORR RAG score	ORR assessment on progress against recommendation
ORR010	Further to Network Rail’s work to implement the recommendations of the Glaister Review, it should strengthen the Programme Management Office (PMO). The PMO has recently been working to extend its activities further out from the timetable change, and this is a useful way to support risk identification and management as early as possible within the timetable process. ORR supports these efforts and recommend a continuing strengthening of the PMO.		<ul style="list-style-type: none"> ❖ The PMO continues to mature, and we have reflected this in our System Operator (SO) mid-year letter (published December 2020), and also in our Annual Assessment for 2019-20. ❖ ORR continues to engage with the PMO on a periodic basis, and more frequently on an ad-hoc basis. ❖ ORR has seen some good examples of the PMO challenging operators during the COVID-19 pandemic.
ORR011	Further consideration should be given to how Network Rail and emerging industry bodies can support franchise development, specifically how DfT and operators can be informed of, and respond to, information about network capacity and performance. The		<ul style="list-style-type: none"> ❖ This has been taken forward as business as usual activities, but it will require ongoing oversight with the developing reform agenda and the ERMA TOCs. ❖ This will require NW&C to continue its engagement with the SO on issues of capacity and performance modelling.

⁷ Schedule 28 of The Railways (Access, Management and Licensing of Railways Undertakings) Regulations 2016, [here](#).

	recommendations of the Glaister Review in respect of industry coordination and assured decision making, are of particular relevance to this.		
ORR012	The SO, Network Rail regions, train operators and the PMO work together to ensure that access applications are made in accordance with industry-agreed timescales.		<ul style="list-style-type: none"> ❖ Sale of Access Rights timescales are still not being adhered to, and this remains an area of concern across Network Rail's regions. ❖ ORR has engaged with the SO and regions on this issue and will continue to do so. ❖ D82 work stream has started which is encouraging, but we are also working with the SO to consider what more immediate steps could be taken.
ORR013	To support the development of timetables and the sale of access rights, Network Rail must be able to robustly assess capacity and performance in sufficient time to support decision making, and more firmly challenge DfT if the assessment shows the timetable will be impeded. This will require modelling of capacity and performance at an earlier stage of the timetable and "Sale of Access Rights" (SOAR) processes. The SO is already tasked with delivering a number of capital programmes to support this in the CP6 Final Determination. The successful delivery of these programmes, supported by improved capability with the SO, must continue to be a priority for delivery		<ul style="list-style-type: none"> ❖ SO's capex programmes will be delivered over the course of CP6 and ORR is monitoring delivery. ❖ The Steer Review is underway and ORR requests an explanation on how the timescales for implementation have been impacted by the pandemic. ❖ Next steps will need to be transparent and well evidenced – linked to ORR011.

alongside robust day-to-day capacity planning activities.	
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Asset Management

There has been varied progress against the nine recommendations regarding Asset Management.

Prior to the review, NW&C was developing a coherent and joined up approach to identifying, assessing, selecting and implementing appropriate asset management improvement initiatives. However, there were no clear indications of when some of the proposed improvement works would commence, how they would be monitored, or when they would be delivered.

Some progress has been made to date on the nine recommendations, such as the fundamental requisites for the improvement programme (e.g. leadership, steering group, and project leads are now established), and NW&C has restated its commitment to demonstrating alignment to ISO55001 by 31 March 2021. However, only one recommendation related to root cause analysis of unexplained failures, is close to completion.

Progress of the recommendations has been impacted to some extent by delays in the Putting Passengers First (PPF) organisation restructuring as a result of COVID-19 and priorities to undertake a nationwide investigation following the Carmont incident. However, any further delays to implementing the recommendations may put the objective of developing a coherent and joined up approach at risk.

The scale of the challenge facing NW&C means that it will need to continue efforts over a number of years before asset performance is fully optimised. The region's next step should be to carry out a prioritisation exercise and develop detailed programmes for each individual project within the overall programme, working towards the target completion date of March 2021 for this activity. NW&C's priorities should be to address the resource imbalance in all Maintenance Delivery Units (MDU) within the region, improving staff capability and competences to aid appropriate and timely asset interventions, and providing staff with up to date and accurate asset information.

NW&C still need to develop a robust monitoring and reporting process that is able to measure the impact of the improvement actions implemented, and differentiate these from wider environmental factors. ORR welcomes the open and positive engagement to date and will continue to closely monitor progress of the recommendations through regular contact with NW&C's asset management team.

Rec number	Recommendation	ORR RAG Score	ORR assessment on progress
ORR014	Develop a coherent plan that sets out realistic timelines and how it intends to monitor, evaluate and report progress and stated outcomes that contribute to Project Alpha.		<ul style="list-style-type: none"> ❖ There has been limited progress on this recommendation. Monthly Programme Board meetings have been established, plus working groups to enable cross-functional integration. Prioritisation of projects within the 10 workstreams is underway. ❖ However the programme (timeframe) for the delivery of individual projects within the 10 workstreams is yet to be developed, although the region plans to have this completed by end December 2020.
ORR015	Address the resource imbalance assessment in all MDUs within the region; (as defined in DRAM 10 Point Plan)		<ul style="list-style-type: none"> ❖ Three projects have been initiated to address this recommendation: <ul style="list-style-type: none"> ➤ Review of maintenance delivery staff requirements. ➤ Fault backlog clearance to remove overdue maintenance teams. ➤ Recruitment and retention for highest priority functional and geographical areas. ❖ The recommendation was originally targeted for completion by Dec 2020. Progress has been made on identifying the resource requirements but further actions needed for close out. ❖ Evidence of roadmap and action plan to meet the gaps is required to close this recommendation.
ORR016	Develop a proposal to better understand the real causes of the large number of unexplained failures that it has, so that appropriate actions to address them can		<ul style="list-style-type: none"> ❖ Significant progress has been made on this recommendation.

	<p>be put in place; (as defined in DRAM 10 Point Plan).</p>		<ul style="list-style-type: none"> ❖ A root cause analysis approach has been developed and implemented as Business as Usual. ❖ If implemented consistently, NW&C will be able to establish root causes and create recommendations in significantly shorter timeframes. ❖ A Continuous Improvement Strategy was reported as having been produced. ❖ The recommendation was originally targeted for completion by Dec 2020. ❖ NW&C has shared the recommendations identified by the root cause analysis process for four recent incidents as an indication of how the process can add value. ❖ ORR requests that NW&C share the PPS process document and the continuous improvement strategy. Once received, this recommendation can be considered for closure.
<p>ORR017</p>	<p>Improve staff capability and competences to aid appropriate and timely asset interventions; (as defined in DRAM 10 Point Plan).</p>		<ul style="list-style-type: none"> ❖ A number of actions to address the recommendations have been proposed, including: <ul style="list-style-type: none"> ➤ A Delivery Unit (DU) specific competency framework, ➤ review of training progress, ➤ review adequacy of existing training facilities; and ➤ guidance for competence management. ❖ The plan includes providing training layouts at Carlisle and Watford.

			<ul style="list-style-type: none"> ❖ Limited progress to date but working towards target completion by March 2021. ❖ ORR requires evidence of capability and competence assessment, setting out the current and future requirements and a roadmap to close the gaps.
ORR018	Address the unfunded items within the WRCCA plan; (as defined in DRAM 10 Point Plan).		<ul style="list-style-type: none"> ❖ Progress has been made on prioritising the unfunded items and identifying funding source for priority projects. ❖ This recommendation was originally targeted for completion by Sept 2020. ❖ In order to close this recommendation, potential funding routes would need to be identified for all items, either in this or future control periods.
ORR019	Include a review of NW&C's inter-asset performance plans such as the management of vegetation. This is considered to be an external factor which affects the Electrification System and requires to be managed holistically to provide a reliable asset, vegetation being the most prevalent factor.		<ul style="list-style-type: none"> ❖ Regional aims and objectives are to be set out in the Vegetation Management Plan. ❖ Maintenance Delivery Unit (MDU) maintenance plans to manage safety critical assets (Signal and signage sighting, Level-crossing sighting, OLE encroachment). ❖ A standardised approach for holistic management of vegetation is in development, and it aims to integrate the vegetation clearance plan and MDU maintenance plans which is essential to delivering PPF. ❖ Limited progress to date but working towards target completion by March 2021 ❖ Route teams are addressing the challenge with integrated plans in development. Once the integrated

			plans are completed this recommendation can be considered for closure.
ORR020	Acknowledge the importance of having accurate asset data upon which analysis can then be undertaken. In ORR's determination it was set out that Network Rail is expected to maintain its focus on the new Minimum Asset Data Requirements (MADR) that have been defined to establish a process for the Exchange of Asset Information (EAI).		<ul style="list-style-type: none"> ❖ Progress is underway and NW&C has committed to provide a comprehensive update in February 2021. ❖ We require NW&C to add an addendum to the Regions Strategic Business Plan stating how NW&C makes use of asset data to deliver continuous improvements in asset performance. ❖ In addition NW&C should outline the organisational structure, process followed, tools utilised and responsibility of those undertaking asset data management. The region should clearly set out how and when it will meet the MADR requirements in full for each asset group.
ORR021	Provide an implementation and monitoring plan for the E&P Asset Strategy and the OHLE Asset Strategy		<ul style="list-style-type: none"> ❖ Progress has been made in terms of implementing resilience initiatives. ❖ Evidence of the monitoring plan, its implementation and expected outcomes are still outstanding and are to be provided. ❖ Periodic targeted assurance review (TAR) meetings have been set up between the NW&C Electrification & Plant (E&P) regional team and the ORR where the detailed plans and evidence can be reviewed. ❖ In January 2021, ORR will review through the periodic regional engagement with the E&P asset lead.
ORR022	Restate its commitment to demonstrating alignment with ISO 55001 by March 2021 in its Strategic Business Plan.		<ul style="list-style-type: none"> ❖ Leadership commitment to achieve ISO55001 alignment is evident.

			<ul style="list-style-type: none"> ❖ The region aims to achieve ISO55001 alignment by 31 March 2021, as originally committed in the Strategic Business Plan. ❖ In January 2021 ORR will review the state of readiness and action plan to meet the determination requirement, as part of our wider targeted assurance review programme.
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Project Alpha, Putting Passengers First and Engagement

There has been good progress with the three recommendations regarding Project Alpha, PPF and Engagement.

NW&C has delivered effectively against our recommendations on Project Alpha, PPF and Engagement, providing good evidence to support progress to date.

The region has been open and transparent, sharing documents associated with these recommendations, and providing access to Network Rail’s performance tracking system and its internal PIMS Good Practice Library. In addition, the region has shared engagement and joint industry plans with ORR, which outline actions and demonstrate a commitment to continually improve industry relationships.

One of the challenges for the region is to identify a failure before it occurs and the embedding of lessons learned into current work practices is key to enabling this. Currently, the lessons learned system is in development, although ORR is satisfied that once this is ‘live’, the region will benefit from the sharing of these learnings.

Stronger stakeholder engagement work is also being delivered by the region, notably with freight operators. Project Alpha, which aims to drive cultural change and improve performance, is proving to be a success for the region and demonstrates a commitment to improve performance and industry relationships (through the sharing of lessons learned).

While ORR expects these recommendations to become a part of normal business activities in 2021, we will continue to monitor the progress of the application of lessons learned and stakeholder relationships into year 3 of CP6.

Rec. number	Recommendation	ORR RAG Score	ORR view on progress
ORR023	A programme and timelines for improvement initiatives to be provided and tracked – the IPAT system does not track all performance activities. There is the opportunity for NW&C to look at combining all initiatives into the one location, including those included in the Joint Performance Plans.		<ul style="list-style-type: none"> ❖ ORR is satisfied with the progress that the region is making, showing a commitment to better manage and report on its performance initiatives. ❖ The region indicated that all performance-rated projects in the region (including Project Alpha) are now in the IPAT system or in the PIS. ❖ ORR will continue to monitor delivery of this programme.
ORR024	Develop plans to improve the capture of lessons learned and application of these – through learning and sharing information with other regions.		<ul style="list-style-type: none"> ❖ This action was about acknowledging poor performance, understanding how it happened and why, and what could have been done differently. While PIMS picks this up, NW&C also needs to apply the learnings from previous big failures and adapt these into current work practices. ❖ The region has demonstrated a strong commitment to delivering changes and improvements and is involved in numerous cross-region conversations about the review and lessons learned, as well as identifying things that the region could have been done better through the process. ❖ The region has demonstrated its commitment to delivering Project Alpha initiatives and ORR has seen good evidence of this. ❖ The PIMS Good Practice library has some good examples of work undertaken to date, however it is noted that this is still in development.

ORR025	Develop robust stakeholder engagement plans, including TOCs and FOCs to establish how better Network Rail can work with them to improve performance.		<ul style="list-style-type: none">❖ The region has demonstrated a strong commitment to delivering changes and improvements.❖ ORR has received evidence to support improved engagement by NW&C with industry stakeholders. ORR expects to see the initiatives from this improved engagement and developed joint industry action plans being delivered.
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