



APPLICATION TO THE OFFICE OF RAIL AND ROAD FOR A PASSENGER TRACK ACCESS CONTRACT, OR AN AMENDMENT TO AN EXISTING CONTRACT

ORR ensures that train operating companies have fair access to the rail network and that best use is made of capacity. If a train operator wants to access the national railway network, it will need a track access agreement with Network Rail which requires ORR's approval under the Railways Act 1993. When determining access to the network, we must have regard to our [statutory duties](#), most of which are set out in section 4 of the Act. We must exercise our functions (which include the approval of access contracts) in a way that we consider best achieves those duties.

Use this form to apply to the Office of Rail and Road (ORR) for a passenger track access contract, or an amendment to an existing contract by a supplemental agreement, under sections 17-22A or the Railways Act 1993.

It sets out ORR's standard information requirements for considering applications. Our [track access guidance](#) (and our [making an application](#) guidance in particular) explains the process, timescales and the issues we will consider. Please read the guidance before completing the contract and this form.

If the facility owner and beneficiary have agreed terms, the facility owner should fill in the form. If not, the beneficiary should fill in the form.

A pre-application industry consultation is usually required before submitting an application. Please see the industry [code of practice for track access application consultations](#) for more information.

This form should be completed up to section 10 and sent to consultees along with a copy of the proposed contract or supplemental agreement. Sections 10 and 11 should be filled in after the consultation and before applying to ORR.

We are happy to talk to you informally before you apply. Please contact us [here](#). You can download a copy of this form, and of our model track access contract, from our [website](#). Please ensure that you are using the latest version of this form as published on our website. We may ask for applications which have not used the latest version to be resubmitted.

You may also use and adapt this form if necessary to apply to use railway facilities other than those of Network Rail. Do not use this form for HS1, for which a separate form is available on our [website](#).

1. Application Summary

1.1 Beneficiary company name:

TransPennine Trains (TPT) Limited

1.2 Facility owner details:

Network Rail:	<input type="checkbox"/>				
Region:	Southern <input type="checkbox"/>	Eastern <input type="checkbox"/>	North West & Central <input checked="" type="checkbox"/>	Wales & Western <input type="checkbox"/>	Scotland's Railway <input type="checkbox"/>
Other Facility Owner:	<input type="checkbox"/>	Please state:			

1.3 Application under the Railways Act 1993 section:

17 <input type="checkbox"/>	18 <input type="checkbox"/>	22 <input type="checkbox"/>	22A <input checked="" type="checkbox"/>
Supplemental Number:		63rd	
Current contract date:		03/03/2016	
Current contract expiry date:		SCD 2028 (May 2028 timetable change)	

1.4 Applicant status:

Public Service Operator <input checked="" type="checkbox"/>	Public service contract start date:	28/05/2023
	Public service contract end date:	30/05/2027
	Name of funder (e.g. DfT, Local Authority):	DfT
	Does the funder support this application?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Open Access <input type="checkbox"/>		
Charter Operator <input type="checkbox"/>		

1.5 Executive summary of the proposed contract or amendment:

TPT seeks industry support and approval from the ORR to make changes to TPTs track access within tables 2.1 and 2.2 of Schedule 5 the track access contract. These changes will fully align TPTs rights within our access rights tables set out for the December 2024 timetable and include the additional requirements for the introduction of the ECML ESG timetable in May 2025. This application will see the request for additional rights between Newcastle and Edinburgh as per the outputs ECML ESG timetable and the working group and additional rights between Huddersfield and Leeds to support the delivery of TRU engineering works with the extended closure of platforms in Huddersfield.

Proposed commencement date:	SCD 2025 (May 2025 timetable change)
End date:	Contract Expiry (SCD 2028)
Date approval or directions wanted by:	

1.6 Industry consultation:

Who carried out the consultation?			
Consultation start date:		Consultation end date:	
Not carried out <input type="checkbox"/>			

1.7 Applicant details

<u>Facility Owner</u> Company: Network Rail Contact name: Sam Wheelan Job title: Franchise & Access Manager, NW&C Address: Square One, 4 Travis Street, Manchester, M1 2NY Phone: [REDACTED] E-mail: [REDACTED]	<u>Beneficiary</u> Company: TransPennine Trains Limited Contact name: Chris Hassall Job title: Head of Commercial Contracts Address: 8 th Floor, Bridgewater House, 60 Whitworth Street, Manchester, M1 6LT Phone: [REDACTED] E-mail: [REDACTED]
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1.7 Date of application to ORR:

1.8 Checklist of documents attached to the application form:

- Proposed new contract (S17 or S18) or supplemental agreement (S22 or S22A)
- Marked up Schedule 5 (where applicable)
- Marked up comparison to model contract (where applicable)
- All consultation correspondence
- Supporting documentation required for competing services (see section 6.2)
- Other supporting documents, side letters or collateral agreements (please list):

2. Licence and railway safety certificate**2.1 Please state whether:**

- you intend to operate the services yourself; or
- have them operated on your behalf.
 - if so, please name the proposed operating company:

2.2 Does the proposed operator of the services:

- (a) hold a valid train operating licence under section 8 of the Railways Act 1993 or an exemption under section 7, **and**
- (b) hold a valid safety certificate under the Railways and Other Guided Transport Systems (Safety) Regulations 2006.

If the answer to (a) **or** (b) is no, please state the point reached in obtaining a licence, exemption and/or safety certificate.

3. The proposed contract or amendment

3.1 Application overview: Please detail the proposed contract or amendment. This should cover the services, the commercial terms, and the reasons for making the application in the terms proposed. This information should be laid out clearly and concisely, and fully highlight the changes from the previous version of the contract (in the case of an amendment).

TPT seeks industry support and approval from the ORR to make amendments to the content that is contained within tables 2.1 and 2.2 within the track access contract. This is so they reflect the services that TPT are going to be running from the implementation of the May 2025 timetable change date. TPT's requests reflect the requirements of the ECML ESG timetable recast that has been agreed by industry.

In line with the ESG timetable output, TPT will be requesting for additional access rights for services between Edinburgh and Newcastle that will see the service provision increase to 8 services per day.

TPT are also requesting for additional access between Huddersfield and Leeds due to limitations that are made to service provision due to engineering works that will be taking place at Huddersfield for the Transpennine Route Upgrade. These engineering works limit the possibility to terminate services in Huddersfield and due to this, TPT are making this request to extend services that run between Manchester and Huddersfield through to Leeds for the duration of the timetable to allow these service to continue to run during the engineering works.

3.2 Safety risks: Please explain any important safety risks that have been identified arising from the proposal and how these will be controlled (by reference to the facility owner's safety authorisation and the train operator's safety certificate).

N/A

3.3 Contract duration: For new agreements or extensions to existing agreements, please provide justification for the proposed duration and, if more than 5 years, with reference to the [Railways \(Access, Management and Licensing\) Regulations 2016](#).

N/A

3.4 Terms not agreed with the facility owner (for applications under sections 17 or 22A only): Please explain any areas of the application which have ***not*** been agreed, the reasons for the failure to agree and the reasons for seeking these provisions.

TBC – Due to the timeframes this is still currently being discussed with Network Rail.

3.5 Bespoke provisions (departures from ORR's model access contracts)

Does the proposed contract include any departures from ORR's model access contract:

Yes No

If yes, please set out and explain any:

- areas where the drafting of the application changes ORR's published template access contracts (as appropriate, cross-referencing to the answers below). Please also explain why these departures have been made.

N/A

- instances where the proposal departs from the charging and/or performance regimes established by ORR's latest periodic review (or subsequent interim reviews) as reflected in ORR's model access contracts, including the financial implications (e.g. establishment of an access charge supplement or rebate).

N/A

- new processes (e.g. a self-modification provision) which have been added. Please also demonstrate fully how this new process is robust and complete.

N/A

3.6 Consolidated contract

For amendments to existing contracts, is the version of the consolidated contract on our [website](#) fully up to date? If not, please explain why not.

Yes

4. The impacts of the proposal

4.1 Benefits: please set out what specific benefits the proposal will achieve. Please describe the benefits to passengers and any impact on other operators, including freight operators.

The changes will allow the rights required for TPT to run its timetable as indicated within its Train service specification and will allow a seamless introduction of the ECML ESG timetable or indeed any timetable that is proposed.

The increased service levels between Newcastle and Edinburgh will help to provide the local stations on the route with more services and better connection options for travel in both Edinburgh and Newcastle.

The extension of the services to Leeds allows TPT to keep customers on trains from stations in between Stalybridge and Huddersfield providing them with the same level of service currently provided currently and reducing the reliance on road transport during an enhanced period of engineering works. The inclusion of this within the base timetable, allows TPT to fully include this disruption within the traincrew linking process that is only completed at the timetable changes in May/December and will help to protect performance within the timetable period.

The new tables will allow TPT and NR to monitor and manage TPT's rights accurately allowing easier identification of any unused rights, making sure only the capacity required is being held.

4.2 Capacity: How have you satisfied yourself that there is enough network capacity for the services in the proposal? Please include details on all relevant capacity considerations, including but not limited to track, platform availability, and power supply traction.

TPT has worked closely with the NR along with the ECML ESG working group on these proposals and all paths have validated within this process to produce the ESG timetable.

4.3 Performance: What is the impact on network performance? Please outline your assurance process that shows that any performance risk is tolerable in comparison to the benefits of the application. Please explain any risk mitigations. Please attach any associated evidence to support your case.

TPT performance is expected to be impacted from the introduction of the ECML ESG timetable as is also expected of other operators. From the information provided by the Network Rail performance modelling for the ECML ESG timetable TPE are expected time to 1% to increase by 1.8%, time to 3% to increase by 1.7% but time to 15% to reduce by -0.7%

With Sensitivity testing included these figures amend to expected time to 1% to decrease by -0.3%, time to 3% to increase by 0.3% but time to 15% to reduce by -1.5%

If the ECML ESG timetable is not introduced as proposed, TPT would not expect any significant decrease in performance to current.

Introducing the extensions between Huddersfield and Leeds within the core of the timetable will allow TPT to include these changes within the base link rostering changes that will benefit the ability to provide the services when the platform capacity at Huddersfield is reduced removing the reliance on short term planning amendments.

4.4 Maintenance and renewals: Are there any implications for the facility owner's maintenance and renewal activities?

No change

5. The expression of access rights

5.1 Changes to rights: please provide full descriptions of any new rights required, as compared to the previous contract (in the case of an amendment). Please attach a fully marked-up version or document comparison of any tables in Schedule 5 which are being modified as a result of this application.

The additional paths below support our December 2024 TT Bid and are reflected in the revised Schedule 5 Track Access Tables. Again, these mirror the ECML ESG TT:

- 8 additional Firm Rights EWD + SU Edinburgh – Newcastle
- 8 additional Firm Rights EWD + SU Newcastle – Edinburgh
- 8 additional Contingent Rights EWD + SU Huddersfield – Leeds (these will be combined with Manchester – Huddersfield Firm Rights to provide a through service)
- 8 additional Contingent Rights EWD + SU Leeds - Huddersfield (these will be combined with Manchester – Huddersfield Firm Rights to provide a through service)
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For reference – EWD = Every working day (Monday – Saturday), SO = Saturday only, SU = Sunday only

*will be removed if the ECML ESG is not introduced

5.2 Flexing rights: Please explain any limitations on the facility owner's flexing rights in the proposal and the rationale for such limitations.

N/A

5.3 Specified equipment: Please explain any changes to specified equipment (rolling stock). Has the vehicle and route acceptance procedure in the Network Code (Part F) has been completed? Please explain whether you have, or will have, the rolling stock necessary to exercise the rights.

N/A

5.4 Contractual obligations: Are the proposed services necessary to fulfil obligations under a public service contract? For publicly contracted operators seeking additional access rights, we will expect to see evidence of funder support for the specific rights and of operators' intent and ability to operate the new services.

The services that TPT are seeking to operate are part of the TPT Train Service Specification with the DfT / Rail North Partnership.

5.5 Public funding: Other than the DfT, Welsh Government or Transport Scotland, are the proposed services subject to financial support from central or local government including PTEs. If so, please give details.

None required

5.6 Long Term Planning Process: Is the Long Term Planning Process (or similar devolved authority or regional service delivery project) relevant to this application? If so, please explain how the proposed rights are consistent or inconsistent with this.

These changes will support TPTs LTP Bid for SCD 2025 subject to the confirmation of the ESG timetable being implemented at this time

6. Competing passenger services:

We would expect to apply the 'not primarily abstractive' test to:

- (i) a new open access service which would compete with franchised services and so impact on the public sector funder's budget;
- (ii) a new franchised service which would compete with an existing franchised service, where we would expect to focus the test on areas where the competing franchised services are operated on behalf of different funders or where for some other reason there are particular concerns over the impact on a funder's budget; and
- (iii) a new service, which might be open access or franchised, which would compete with an existing open access service and which, if it caused the existing open access operator to withdraw from the market, could reduce overall competition on the network.

6.1 Please state if your application is for a competing passenger service, and if so please describe the nature of the competition:

N/A

6.2 For competing services, please also confirm that you have attached as part of your submission to ORR the following:

- Business plan, including details of:
 - forecasts of passenger traffic and revenues, including forecast methodology;
 - pricing strategies;
 - ticketing arrangements;
 - rolling stock specifications (e.g. load factor, number of seats, wagon configuration);
 - marketing strategy;
 - estimated elasticities of the services (e.g. price elasticity, elasticity with respect to quality characteristics of the services).
- Demand forecasting (including associated spreadsheet models) demonstrating modelled generation : abstraction ratio.
- Indicative timetables, including associated .spg files

7. Incentives

7.1 Train operator performance: please describe any planned performance improvement initiatives and/or enhancement projects associated with the operation of the proposed services aimed at improving operator performance.

None relating to this proposal

7.2 Facility owner performance: please describe any planned performance improvement initiatives and/or enhancement projects associated with the operation of the proposed services aimed at improving the facility owner's performance.

None relating to this proposal

7.3 Monitoring of services: Will all proposed services be monitored for performance throughout their journey? If not, please explain.

Yes, as per existing Schedule 8 arrangements.

7.4 Performance regime changes (for applications under sections 17 or 22A only): where applicable, please provide justification for any changes to Schedule 8 of the track access contract in the proposal. If necessary, please provide any relevant information in support of the changes proposed.

N/A

8. Enhancement

8.1 Enhancement details: where the proposal provides for the delivery of any network enhancements, or the services in the proposal are subject to any planned network enhancements, please give full details of the relevant enhancement schemes, including a summary of outputs from the scheme, timescales and the extent to which the network change procedure in the Network Code (Part G) has been completed (where appropriate, by reference to submissions made under ORR's enhancement reporting framework).

N/A

8.2 Enhancement charges: please confirm that the arrangements for the funding of any network enhancements are consistent with the [investment framework](#), and summarise the level and duration of payments, and the assumed rate of return.

There are no enhancement charges.

9. Other

9.1 Associated applications to ORR: please state whether this application is being made in parallel with, or relates to, any other current or forthcoming application to ORR (e.g. in respect of track, station or light maintenance depot access contracts). Where the application is being made in parallel with any other application from the same operator, please ensure the applications are consistent with one another. Where the application relies on another operator relinquishing access rights, please provide evidence that this process has been completed.

This is a standalone application.

9.2 Side letters and collateral agreements: please confirm here that the whole of the proposal between the parties has been submitted with this application and that there are no side letters or other documents which affect it.

N/A

9.3 Confidential redactions: please list any information that you have redacted from any documentation sent to consultees. If there has been no pre-application consultation, please list any information you want us to exclude from publication. Please provide full reasons for any redactions.

N/A

10. Pre-application consultation

10.1 The consultation:

If consultation has not been carried out, explain why not. If it has, please list the consultees.

Who conducted the consultation?

List all consultees who responded and include their responses and any associated documentation or correspondence between the parties.

10.2 Resolved issues: please explain any issues raised by consultees which have been resolved.

N/A

10.3 Unresolved issues: Please explain any issues raised by consultees which have **not** been satisfactorily resolved and why you think these issues should not stop ORR approving the application.

N/A

10.4 Subsequent Changes: Have any changes been made to the proposal following consultation?

N/A

11. Certification

Warning: Under section 146 of the Railways Act 1993, any person who, in giving any information or making any application under or for the purposes of any provision of the Railways Act 1993, makes any statement which he knows to be false in a material particular, or recklessly makes any statement which is false in a material particular, is guilty of an offence and so liable to criminal prosecution.

For agreed applications under section 18 or 22, Network Rail should complete the information below. For disputed applications under section 17 or 22A, the beneficiary should complete it.

I certify that the information provided in this form is true and complete to the best of my knowledge

Signed Date

Name (in caps) Job title

For (company)

12. Submission

12.1 What to send: please supply the application form, the proposed contract or amendment and, where possible, any other supporting information, in electronic form by e-mail, **in plain Microsoft Word or Open Document Text format** (i.e. excluding any macros, auto-para or page numbering, or other auto-formatting).

12.2 Where to send it:

Email: track.access@orr.gov.uk