

Transport for the North Board Agenda

Date of Meeting	Wednesday 29 July 2020
Time of Meeting	1.30 pm
Venue	Microsoft Teams

Filming and broadcast of the meeting

Meetings of the Transport for the North Board are 'webcast'. These meetings are filmed and broadcast live on the Internet. If you attend this meeting you should be aware that you might be filmed and included in that transmission.

Item No.	Agenda Item	Page
1.0	Welcome & Apologies	
2.0	Declarations of Interest	
3.0	Minutes of the Previous Meeting To consider the approval and signature of the minutes of the previous meeting as a correct record and to consider any requests for updates on matters contained therein.	5 - 14
4.0	Governance Report Members are asked to consider the report from the Head of Legal Services.	15 - 44
5.0	Budget Revision 1 Members are asked to consider the report from the Finance Director.	45 - 58
6.0	Corporate Risk Register Members are asked to consider the report from the Finance Director.	59 - 92

7.0	Monthly Operating Report Members are asked to consider the report from the Programme and Strategy Director.	93 - 118
8.0	TransPennine Route Upgrade Members are asked to consider the report from the Strategic Rail Director in addition to the presentation from the Department for Transport.	119 - 128
9.0	Rail North Committee Feedback Members are asked to note the update from the Strategic Rail Director.	Verbal Report
10.0	Investment Programme Update Members are asked to consider the report from the Major Roads Director.	129 - 184
11.0	Economic Recovery Plan Proposals Members are asked to consider the report from the Major Roads Director.	185 - 210
12.0	Northern Transport Charter Members are asked to consider the report from the Programme and Strategy Director.	To Follow
13.0	Exclusion of Press and Public Exclusion of Press and Public (v) To resolve that the public be excluded from the meeting during consideration of Item[s] [14] on the grounds that: (1) It is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the public were present during such item(s), confidential information as defined in S100A(2) of the Local Government Act 1972 (as amended) would be disclosed to them in breach of	

	<p>the obligation of confidence; and/or</p> <p>(2) it / they involve(s) the likely disclosure of exempt information as set out in the Paragraphs [where necessary listed below] of Schedule 12A of the Local Government Act 1972 (as amended) and that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.</p>	
14.0	<p>Part 2 Minutes of the Previous Meeting</p> <p>To approve as a correct record the Part 2 Minutes of the previous meeting of the Board.</p>	211 - 214

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Transport for the North Board Minutes

**Thursday 11 June 2020
MS Teams**

Present:

John Cridland (Chairman)

Attendee

Cllr Phil Riley
Cllr Jim Hobson
Cllr Craig Browne
Cllr Gittins
Cllr Keith Little
Cllr Matthews
Mayor Andy Burnham

Cllr Daren Hale
Michael Green
Mayor Steve Rotheram
Cllr Carl Marshall
Cllr Stewart Swinburn
Cllr Rob Waltham
Cllr Don Mackenzie
Mayor Dan Jarvis
Cllr Heather Scott
Cllr Hans Mundry
Cllr Judith Blake
Cllr Andy D'Agorne

Local Authority

Blackburn with Darwen;
Blackpool;
Cheshire East;
Cheshire West & Chester;
Cumbria;
East Riding of Yorkshire;
Greater Manchester Combined
Authority;
Hull;
Lancashire;
Liverpool City Region;
North East Combined Authority;
North East Lincolnshire;
North Lincolnshire;
North Yorkshire;
Sheffield City Region;
Tees Valley;
Warrington;
West Yorkshire Combined Authority;
York;

Rail North Authorities Attendees

Cllr Trevor Ainsworth
Cllr Mark Winnington

Derbyshire
Staffordshire

Local Enterprise Partnership (LEP) Attendees

Graeme Bristow
Steve Curl
Mark Rawstron
Mark Roberts
Andrew Hodgson
Matthew Lamb
Peter Kennan

Cheshire & Warrington LEP
Cumbria LEP
Lancashire LEP
Leeds LEP
North East LEP
North Yorkshire LEP
Sheffield City Region LEP

Partners in Attendance:

Nick Bisson
Ben Smith
Jim O'Sullivan
Graham Botham
Lorna Pimlott

DfT
Department for Transport
Highways England
Network Rail
HS2

Officers in Attendance:

Name	Job Title
Barry White	Chief Executive
Gary Rich	Democratic Services Officer
Dawn Madin	Director of Capabilities
Iain Craven	Finance Director
Julie Openshaw	Head of Legal
Rosemary Lyon	Legal and Democratic Services Officer
Deborah Dimock	Solicitor
Peter Molyneux	Major Roads Director
Tim Wood	Northern Powerhouse Rail Director
David Hoggarth	Strategic Rail Director
David Hughes	Programme and Strategy Director

Also in Attendance:

Richard George
Anna Jane Hunter
Nick Donovan
David Sidebottom
Beth Farhart

DOHL
Network Rail
Northern
Transport Focus
TUC

Item No: Item**1. Welcome & Apologies**

1.1 The Chairman welcomed Members and apologies were noted.

2. Declarations of Interest

2.1 There were no declarations of interest.

3. Minutes of the Previous Meeting

3.1 The minutes of the Transport for the North Board held on 12 March 2020 and the consultation call on 29 April 2020 were considered.

Resolved:

That the minutes of the Transport for the North Board held on 12 March 2020 and the consultation call on 29 April 2020 be approved as a correct record.

4. Operational Rail Update

- 4.1 The Operational Rail update report was received by Members and taken as read. Anna Jane Hunter, Beth Farhat and Richard George were invited by the Chairman to update the Board on their specific areas. Following the updates Members were able to ask questions.
- 4.2 Members received a presentation from Ms. Hunter which set out the measures taken by the industry to support essential travel during the pandemic. The presentation was taken as read.
- 4.3 Ms. Farhat provided Members with background as to the work the Trade Union Congress (TUC) do. She explained that safety is at heart of what they are trying to do in order to get people back to work at the same time as protecting jobs.

In relation to the rail network, she explained that she expects there to be an increase in footfall over the second half of June and in July and that this would need to see the introduction of longer trains together with an intelligent system of monitoring and responding to changes.

She also addressed the issue of social distancing and explained that workers also have a responsibility to do this properly. She expressed concern as to how social distancing could be properly maintained, for example at unstaffed stations.

Ms. Farhat spoke about face coverings and explained that the compulsory wearing of them would make members of the public feel safer, but she said there were questions as to how the operating companies and their staff would be able to enforce it and how they would know who had dispensation not to wear one.

She explained that the issue of volunteering at stations had not been discussed with the unions and that there was anxiety amongst staff as to the roles they would be doing. She explained that the unions' current position on this was that they opposed the use of volunteers whilst there are staff who are able to work and take on these tasks. She stated that this would be their position until consultation has taken place.

- 4.4 David Sidebottom provided Members with background on his organisation's role and gave a passenger perspective on the current situation. Mr. Sidebottom stated that passengers want a good rail service that is punctual and reliable. Before updating Members, Mr. Sidebottom thanked the front line staff who have been delivering services over the last few months.

Members were informed that Transport Focus has been tracking the views of around 2000 people over the last 6 weeks. Issues discussed included face coverings and social distancing. He informed Members that 70% of those asked about using public transport said they only do so if there was safe social distancing in place.

Mr. Sidebottom stated that he had spoken to the Train Operating Companies (TOCs) about the good and clear messages they are providing on their websites, and also suggested that the companies may want to explore the possibility of more flexible season products.

- 4.5 Richard George updated Members on the current position with the 100-day plan following the end of the 100 day period earlier in the week. He explained that Covid 19 had made producing a proper business plan and preparing a budget difficult.

Mr. George explained that the plan looks at what needs to be done and focused on getting the basics right.

Mr. George stated that at the next Rail North Committee, Members will be presented with the plan.

He explained that a more strategic review of the fleet will be needed and that there is a task force which is dealing with congestion in and around Central Manchester. In due course this will require some difficult choices to be made.

- 4.6 Mayor Rotherham emphasised the importance of the Board hearing from Ms. Farhat and Mr. Sidebottom particularly on the issues of social distancing and face coverings.

- 4.7 Mayor Jarvis questioned if there is sufficient rolling stock.

Mr. George confirmed there is no shortage of rolling stock. He added that longer rolling stock would be good although there are limitations due to the length of platforms. He also stated that operators are constrained by staff who are currently unavailable to work.

Mr. George concluded by saying that mass transit and social distancing do not work well together and once the number of passengers begin increasing then the 2-metre distancing may prove to be problematic.

- 4.8 Cllr Little suggested that the use of volunteers may be beneficial in unstaffed stations

Ms. Farhat reiterated that the unions are currently opposed to the use of volunteers as there has not yet been any discussion on the matter. She added that there are staff who are well enough to work and who could be undertaking this work but who have been stood down.

In response, Richard George stated that there won't be any use of volunteers on Northern without consultation with the staff first

- 4.9 Mayor Burnham commented on the stability of the railway over the last three months and expressed concern that this stability may be disturbed once there is an uplift in services.

Ms. Hunter explained that the uplift would be done gradually and in a controlled manner in order to maintain resilience as much as possible. She highlighted that that biggest challenge would be delivering the correct capacity to the correct areas; however the North of England Contingency Working Group will play a key role in this work.

- 4.10 Cllr Swinburn raised the issue of communications and publicity and praised the work of Transpennine Express in this area; however he added that Northern's performance had not been as good.

Nick Donovan stated that he would ask his team to engage directly with Cllr Swinburn on the communication issue.

- 4.11 Peter Kennan requested that the LEPs should be involved in the process of potential changes as this to date has not happened.

The Chairman supported Mr. Kennan's point and asked that this issue be followed up after the meeting.

- 4.12 Cllr Blake requested that communications with the public should be accessible for all and suggested that it should be published in different languages as well as being made available for those with disabilities. She explained that passengers would not return unless they have confidence and the only way that will happen is through communication.

Cllr Blake also raised the issue of face coverings, hand sanitisation and safeguarding issues relating to volunteers.

She also asked that there be more clarity on the passenger promise so that the voice of the passenger and their needs is picked up.

Cllr Blake also raised the issue of seat bookings for all journeys and whether other operators would be following LNER in adopting this style.

In response to this Mr. George stated that this system would be difficult to implement on short distance travel.

- 4.13 Cllr Gittins raised the need for toilets on trains as well as test, track and trace.

- 4.14 Ben Smith addressed the issue of face coverings explaining that a huge amount of work is being undertaken by the Department on this matter including the development of guidance and how it will be enforced and

he confirmed that information will be provided to authorities on this matter as soon as possible.

- 4.15 Ms. Hunter responded to the issue of hand sanitisation raised by Members, explaining that enhanced cleaning regimes are now in place and that hand sanitisers are available on station platforms where practical. Members were also informed of an anti-bacterial product that Network Rail has been using over the past few weeks, which provides protection to indoor surfaces for up to 28 days and the TOCs are also beginning to use this as well.
- 4.16 Cllr Riley raised the issue of compliance with the new standards.

Resolved:

That the report, presentation and updates be noted.

5. Economic Recovery Plan

- 5.1 The report was received by Members and taken as read. The Chairman outlined for Members the key points of the report which focuses on accelerating investment in various areas. He explained that this is not a decision making paper, but that the work outlined in the report will be undertaken and then brought back to Board.

The Chairman explained that following the meeting a letter outlining the quick wins will be sent to the Secretary of State.

- 5.2 Members highlighted specific programmes relating to their constituent areas as well as the issue of Active Travel and the investment in the physical infrastructure.
- 5.3 Steve Curl suggested that a balanced portfolio of ideas should be included in the letter to the Secretary of State.
- 5.4 Mayor Burnham suggested that a principle be added to section 4.9 of the report. He suggested that devolved funding should be routed via city regions for bus and light rail so that public transport reform can be achieved. Mayor Burnham asked for the support of Transport for the North in trying to achieve this.
- 5.5 Cllr Blake requested, that wherever possible all conversations on economic recovery include a request around devolution.

Resolved:

- 1) That the report be noted;
- 2) That the Board endorses Transport for the North's (TfN) proposal to develop a proposed Economic Recovery Plan, for accelerated investment in Northern Transport schemes;

- 3) That the Board endorses TfN's proposal to develop a proposed Economic Recovery Plan, for accelerated investment in Northern Transport schemes;
- 4) That the Board endorses writing to the Secretary of State, seeking development and implementation funding for a number of "quick win" schemes and interventions;
- 5) That an additional principle is included in section 4.9 of the report supporting devolved funding to be routed via City Regions for bus and light rail.

6. Future Road Investment

- 6.1 The report was received by Members and taken as read.
- 6.2 The Chairman invited Jim O'Sullivan to provide Members with an update on the Road Investment Strategy.

Mr. O'Sullivan explained that the total cost of the A66 and A63 schemes is £1.4 billion. Members were informed that acceleration options are being explored for the A66.

Mr. O'Sullivan highlighted the benefits of both schemes and explained that they would bring jobs to the north and that a great many local companies and local employees will be involved in their delivery.

- 6.3 Members welcomed the proposed schemes in the report with Cllr Scott highlighting the importance of local businesses being procured to undertake the work.
- 6.4 Cllr Green highlighted an error in section 2.4 of the report stating that the M6 Junction 33 scheme is being delivered by Lancashire County Council and not Highways England.

Resolved:

- 1) That the report be noted
- 2) That section 2.4 of the report be amended to reflect that the M6 Junction 33 scheme is Lancashire County Council scheme.

7. Northern Powerhouse Rail Update

- 7.1 The report was received by Members and taken as read. The NPR Director welcomed questions on the report.

Mayor Burnham raised the issue of Manchester Piccadilly following agreement at the March Board that there should be a fair comparison of the optimised underground option and the surface options. Mayor Burnham stated that he believed that the peer review of the Bechtel work was being used to stall the further work on Manchester Piccadilly. He requested that the Board sticks to the decision that it made in March and that work progressed on the integrated underground station to present a fair comparison.

Mayor Burnham also welcomed the letter the Chief Executive had sent to Andrew Stephenson MP and thanked him for it.

- 7.2 The Chairman stated that he and the Chief Executive had been pursuing this matter between the two Board meetings. He explained that the Chief Executive had written the letter in order to progress the matter.
- 7.3 Cllr Blake asked about the NPR non statutory consultation and asked how it fits into the Integrated Rail Plan.

The NPR Director explained that the non-statutory consultation has been paused and that he does not now expect this to be done until after the Strategic Outline Case delivery in March 2021.

Addressing the issue of the Integrated Rail Plan, the NPR Director explained that Transport for the North is working closely with all partners to make sure that its needs and wants in terms of the delivery of a fully integrated rail solution across the North of England with all the associated benefits is made clear to the National Infrastructure Commission .

- 7.4 Cllr Swinburn questioned how Transport for the North would consider freight and local connectivity as part of Northern Powerhouse Rail rather than just city connectivity, due to the fact that passenger and freight are going to grow in line with expected economic development across all of the North.

The NPR Director explained that the Integrated Rail Plan will look at transformation in the North as a whole and Northern Powerhouse Rail is considering locations beyond the major cities including North East Lincolnshire.

- 7.5 The Finance Director raised the matter of funding for the NPR programme that had previously been discussed on the consultation call. He explained that the issue had largely been resolved and that circa. £46 million (incl.VAT) had been committed by the department, although some caveats remain around Pre-Sequence 5 work which is being reviewed by the Department and TfN, equating to around £5.8 million (incl. VAT).
- 7.6 Nick Bisson explained that the Department shared Mayor Burnham's frustration with regards to the Peer Review and the amount of time it has taken for the review to be completed. Now it has been completed, advice has been given to Ministers and he anticipates that Mayor Burnham should hear from them shortly on this.

Resolved:

That the report be noted.

8. Monthly Operating Report

- 8.1 Members received the Monthly Operating Report from the Finance Director and the report was taken as read.

Resolved:

That the report be noted.

9. Financial Outturn 2019/20

- 9.1 Members received the Financial Outturn Report from the Finance Director and the report was taken as read.

9.2

Resolved:

That the report be noted.

10. Exclusion of Press and Public

RESOLVED: That the public be excluded from the meeting during consideration of the following items of business because it is likely that, in view of the nature of the business to be transacted or the nature of the proceedings, there will be disclosure of confidential information as defined in Section 100A of the Local Government Act 1972 (as amended) and/or exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972 (as amended).

11. Part 2 Minutes of the Previous Meeting

- 11.1 The private minutes of the previous Transport for the North Board were considered.

Resolved:

That the private minutes of the Transport for the North Board held on 12 March 2020 be approved as a correct record.

12. Proposed Investment Programme - Update

- 12.1 The proposed Investment Programme report was received by Members who were invited to ask questions and make comments on the report.

Resolved:

That the report be noted

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Transport for the North Board

Subject: Governance Report

Author: Deborah Dimock, Solicitor

Sponsor: Julie Openshaw, Head of Legal

Meeting Date: 29 July 2020

1. Purpose of the Report:

- 1.1 For Transport for the North Board to appoint a Chair and two Vice Chairs for the forthcoming year.
- 1.2 For Members to approve the co-option of new LEP Members to the Board.
- 1.3 For the Board to confirm the membership of Committees for the forthcoming year.
- 1.4 For Transport for the North Board to approve the Constitution for the coming year subject to approval of the following amendments:
 - a) New Procedure Rules and amendments to the Constitution to provide for virtual meetings;
 - b) Amendments to the Terms of Reference of the Rail North Committee;
 - c) Approval of proposed amendment to the Constitution to enable future minor administrative changes to be made by the Monitoring Officer;
 - d) Adoption of a replacement Whistleblowing Policy.
- 1.5 To advise Members that a draft Calendar of Meetings will be presented to Board for consideration and approval at its September meeting.

2. Appointment of the Chair and Vice Chairs of the Board

- 2.1 Under the provision of paragraph 2(1)(a) of the Transport for the North Regulations, Transport for the North is required to appoint a Chair in each year. The Constitution also requires the appointment of two Vice Chairs each year. By convention one of the Vice Chairs is to be appointed from among the majority party the other is to be appointed from among the minority parties.
- 2.2 In the event that there is more than one nomination for an office there will be an election by a named vote in which the votes cast will be

weighted calculated on the basis of population. The person elected will be the one who has the support of Members who between them hold more than 50% of the weighted votes of those present and entitled to vote.

2.3 Recommendations

1. That nominations be received for the Chair of the Board and the Chair be elected.
2. That nominations be received for the Majority Vice Chair and the Vice Chair be elected.
3. That nominations be received for the Minority Vice Chair and the Vice Chair be elected.

3 **Co-option of LEP Members**

3.1 Under the provisions of Regulation 1(13) of the Transport for the North Regulations the Board may appoint Co-opted Members to the Board provided that they all agree to do so. At its inaugural meeting the Board agreed to appoint the representatives of the 11 LEPs within the TfN area to the Board. In July 2019 an amendment to the Constitution was agreed to enable Members to agree to co-option of the LEP members generally rather than individually.

3.2 Recommendation

That Members agree that each new representative of the LEPs when notified to TfN shall be co-opted as a Co-opted Member of the Board without further reference to the Board.

4 **Membership of Committees**

4.1 The current membership of Transport for the North's Committees is as follows:

Rail North Committee

Regional Group	Member	Substitute Member
Greater Manchester	Mayor Andy Burnham	
West Yorkshire and the City of York	Cllr Judith Blake	Cllr Susan Hinchcliffe
Sheffield City Region	Mayor Dan Jarvis	Cllr Chris Read
Liverpool City Region	Cllr Liam Robinson	
North East	Cllr Carl Marshall	Cllr Nick Forbes
Lakeland	Cllr Keith Iddon	Cllr Keith Little
Tees Valley	Mayor Ben Houchen	Cllr Heather Scott
North Yorkshire	Cllr Carl Les	Cllr Don McKenzie
Humber	Cllr Rob Waltham	Cllr Richard Hannigan

Cheshire and the Potteries	Cllr Craig Browne	Cllr Karen Shore
East Midlands	Cllr Trevor Ainsworth	Cllr Chris Brewis

Audit and Governance Committee

Member
Chris Melling
Kevin Brady
David Pevalin
Cllr Simon Blackburn
Cllr Keith Little
Cllr Chris Brewis
Cllr Liam Robinson
Cllr Mark Winnington

Scrutiny Committee

Area	Member	Substitute Member
Blackburn with Darwen	Cllr Jim Shorrock	Cllr Jim Casey
Blackpool	Cllr Martin Mitchell	Cllr David O'Hara
Cheshire East	Cllr Laura Crane	Cllr Rod Fletcher
Cheshire West & Chester	Cllr Andrew Cooper	Cllr Richard Beacham
Cumbria	Cllr Neil Hughes	Cllr David Southward MBE
East Riding of Yorkshire	Cllr Mike Stathers	
Greater Manchester	Cllr Roger Jones	Cllr Elsie Wraighte
Hull City Council	Cllr Sean Chaytor	Cllr Haroldo Herrera-Richmond
Lancashire	Cllr Matthew Salter	Cllr Andrew Snowden
Liverpool City Region	Cllr Patrick Mckinley	Cllr Natalie Nicholas
North East Combined Authority	Cllr Michael Mordey	Cllr John McElroy
North East Lincolnshire	Cllr Lia Nici	Cllr David Hasthorpe
North Lincolnshire Council	Cllr John Davison	
North of Tyne Combined Authority	Cllr Carl Johnson	Cllr Bruce Pickard
North Yorkshire	Cllr Paul Haslam	
Sheffield City Region	Cllr Chris Lamb	Cllr Joe Blackham
Tees Valley	Cllr Ashley Waters	
Warrington	Cllr Cathy Mitchell	Cllr Steve Parish
West Yorkshire	Cllr Manisha Kaushik	Cllr Kim Groves
York	Cllr Dave Taylor	Cllr Stephen Fenton

4.2 Recommendation

That the Board approves the membership of the Committees of TfN as set out above.

5 **Amendments to the Constitution**

Virtual Meetings

- 5.1 Following the making of the Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020 it is now legally possible for formal Board and Committee Meetings to be held with remote attendance by both Members and members of the public.
- 5.2 This means that where a decision would normally be made at a public meeting, TfN needs to hold a formal meeting but this may now be done remotely through electronic means provided there is the facility for Members to see and hear each other and for the public to see and hear the proceedings.
- 5.3 All other requirements remain in place, so the Agenda and reports need to be published on TfN's website 5 clear days before the meeting and the normal meeting records need to be made. Meetings will also need to comply with the established rules relating to quorum and voting.
- 5.4 Where a meeting is to be held in public, the proceedings will be streamed to the TfN website so that any members of the public who wish to do so may see and hear the proceedings. If the live feed to the website is disrupted at a time when the proceedings are in public and a substantive decision is to be made the meeting may have to be discontinued until such time as the live feed can be restored.
- 5.5 Since this is a new way of conducting proceedings at meetings, a set of procedure rules have been produced based on the guidance of the Lawyers in Local Government Group (LLG) and it is proposed that the Constitution is amended to include these Procedure Rules for Virtual Meetings for as long as virtual attendance at meetings is permitted. It should be appreciated that the Regulations are time limited and will expire in May 2021 unless the changes are made permanent by further legislation.
- 5.6 The procedure rules request Members to:
- (a) Join the meeting promptly to avoid unnecessary interruptions;
 - (b) Mute microphones when not speaking;
 - (c) Indicate a wish to speak by using the chat function;
 - (d) Only speak when invited to by the Chair;
 - (e) Anyone speaking should switch on their camera if possible

(f) If referring to a specific page or slide, mention the page or slide number.

5.7 The procedure also allows for the Chair (or the facilitator) to:

- (a) Mute someone speaking at any time;
- (b) Mute everyone speaking except themselves at any time;
- (c) Allocate different levels of access to people logging in (based on whether they are a Member, an officer or a member of the public);
- (d) If the meeting resolves to go into private session, the committee administrator will take down the live feed content from the public and just display a holding slide so that Members may continue to hold the meeting on Teams in private. The live stream can then be resumed when needed if the meeting resolves to go back into public session.

5.8 As a practical measure to ensure the smooth running of public virtual meetings a facilitator will assist with the operation of the meeting software to leave the committee administrator free to take the minutes. The facilitator will enable access to the meeting and will be the point of call for any Member unable to access the meeting. They will also be responsible for ensuring that the live feed to the website is activated when the meeting is in public and de-activated whenever the Committee resolves to go into private session.

5.9 The proposed Procedure Rules for Virtual Meetings are set out in Appendix 1.

6. Amendments to the Terms of Reference of the Rail North Committee

6.1 The Blake Jones Review which was carried out following the timetable failures in 2018 has been previously endorsed by the Transport for the North Board and the Action Plan resulting from the Blake Jones Review was approved by the Rail North Committee at its meeting on the 12th March 2020. One of the actions identified by the Review was:

Action 4 Implement Revised Rail North Committee Arrangements

Move to quarterly meetings with a proposed agenda as follows:

- Priorities for future franchisee/services.
- Rail devolution/reform matters.
- Infrastructure priorities.
- Matters for Committee decision from Rail North Partnership Board.
- Update from Officers Reference Group on rail matters affecting constituent authorities (for noting).
- Report on in-life issues (for noting).
- Report on matters reserved to the Secretary of State (for noting)

- Forward planning and paper commissioning.
- 6.2 As initially set up, the purpose of the Rail North Committee was to replace Rail North Limited and so its remit was limited to rail franchise matters and does not extend to infrastructure matters. To implement the Action Plan the remit of the Rail North Committee will need to be widened to include infrastructure matters and appropriate amendments will need to be made to the Constitution’.
- 6.3 Other amendments are proposed to reflect the fact that the Northern Rail Franchise has been terminated and replaced by contracted services and to strengthen the role of the Officers Reference Group.
- 6.4 The wording of the proposed amendments is set out in Appendix 2.

7. Minor Amendments to the Constitution

- 7.1 Following the Board’s decision to widen the membership of the Partnership Board a number of minor amendments are needed to the Constitution to reflect this decision. In order to provide flexibility for the future without the need for a change to the Constitution the proposed amendment includes a provision to cover such members of the Partnership Board as the Transport for the North Board shall appoint from time to time. The wording of these amendments is included in the Schedule of Amendments in Appendix 2.
- 7.2 It is also proposed that an amendment should be made to the Constitution to include a provision to enable the Monitoring Officer to make minor amendments to the Authority’s Constitution such as to give effect to changes to job titles, reflect legislative changes and to improve layout or correct typographical errors without first seeking Board approval. This would enable minor alterations to be made without the need for a report to the Board. This is a common provision in many Constitutions and obviates the need to take up the time of the Board with matters of little significance. All other proposed amendments would continue to be referred to the Board for consideration. The wording of the proposed amendment is in Appendix 2. The Legal Officers of the Constituent Authorities have been consulted on this proposed amendment and have not raised any objection.

8. Whistleblowing Policy

- 8.1 It has been identified that the current whistleblowing policy requires updating and a review has been undertaken of best practice elsewhere. The Whistleblowing Policy has now been revised in line with that best practice and to ensure full compliance with existing legislation.
- 8.2 Since the Whistleblowing Policy forms part of the Constitution the revised Policy needs to be approved by the Board A copy of the Policy is attached at Appendix 3 for approval.

8.3 Recommendations

That the Board to approve the Constitution for the coming year subject to approval of the following amendments:

- a) New Procedure Rules and amendments to the Constitution to provide for virtual meetings;
- b) Amendments to the Terms of Reference of the Rail North Committee;
- c) Approval of proposed amendment to the Constitution to enable future minor administrative changes to be made by the Monitoring Officer.
- d) Adoption of a replacement Whistleblowing Policy.

9. Calendar of Meetings

9.1 A draft Calendar of Meetings for TfN covering Board and all Committees for the forthcoming year is being compiled and will be presented to Board for consideration and approval at its September meeting.

10. Recommendations

- 10.1
 - a) That nominations be received for the Chair of the Board and the Chair be elected.
 - b) That nominations be received for the Majority Vice Chair and the Vice Chair be elected.
 - c) That nominations be received for the Minority Vice Chair and the Vice Chair be elected.
- 10.2 That Members agree that each new representative of the LEPs when notified to TfN shall be co-opted as a Co-opted Member of the Board without further reference to the Board.
- 10.3 That the Board approves the membership of the Committees of TfN as set out in the report.
- 10.4 That the Board approve the proposed New Procedure Rules and amendments to the Constitution to provide for virtual meetings.
- 10.5 That the Board approve the proposed amendments to the Terms of Reference of the Rail North Committee.
- 10.6 That the Board approve the proposed amendments to the Constitution to enable future minor administrative changes to be made by the Monitoring Officer.
- 10.7 That the Board approve the adoption of a replacement Whistleblowing Policy.

- 10.8 That the Board approve the Calendar of Meetings for the forthcoming year.

11. Appendices

- 11.1 Appendix 1 – Procedure Rules for Virtual Meetings
- 11.2 Appendix 2 – Schedule of Amendments to the Constitution
- 11.3 Appendix 3 – Whistleblowing Policy

List of Background Documents:

The Constitution

Required Considerations

Equalities:

Age		No
Disability		No
Gender Reassignment		No
Pregnancy and Maternity		No
Race		No
Religion or Belief		No
Sex		No
Sexual Orientation		No

Consideration	Comment	Responsible Officer	Director
Equalities	A full Impact assessment has not been carried out because it is not required for this report	Julie Openshaw	Dawn Madin

Environment and Sustainability

	No
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Consideration	Comment	Responsible Officer	Director
Sustainability / Environment	A full impact assessment has not been carried out because it is not required for this report.	Julie Openshaw	Dawn Madin

Legal

Yes	
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Consideration	Comment	Responsible Officer	Director
Legal	The legal implications have been considered and are included in the report.	Julie Openshaw	Dawn Madin

Finance

	No
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Consideration	Comment	Responsible Officer	Director
Finance	There are no financial implications.	Paul Jones	Iain Craven

Resource

Yes	
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Consideration	Comment	Responsible Officer	Director
Resource	The resource implications have been considered and are included in the report.	Stephen Hipwell	Dawn Madin

Risk

	No
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Consideration	Comment	Responsible Officer	Director
Risk	There are no risks associated with the content of this report.	Haddy Njie	Iain Craven

Consultation

Yes	No
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Consideration	Comment	Responsible Officer	Director
Consultation	A consultation has not been carried out because it is not necessary for this report.	Julie Openshaw	Dawn Madin

24.Procedure Rules for Virtual Meetings

24.1 The [Local Authorities and Police and Crime Panels \(Coronavirus\) \(Flexibility of Local Authority and Police and Crime Panel Meetings\) \(England and Wales\) Regulations 2020](#) make provision for remote or virtual attendance at all Transport for the North Board and Committee meetings to be held on or before 7 May 2021.

24.2 The Regulations enable meetings to be held without the members being physically present in one place and enables meetings to be held at a virtual location through any form of digital communications provided Members are able to hear and be heard (and, where possible, see and be seen) by other Members and members of the public attending the meeting remotely.

24.3 The Procedure Rules in Part 5 of the Constitution apply to virtual meetings in the same way as they do to other meetings of the Transport for the North Board and Committees except that in the case of any conflict, this Procedure Rule shall take precedence over other Procedure Rules in relation to the governance of Virtual Meetings.

Process

24.4 Transport for the North facilitates remote attendance and access to its meetings through the medium of Microsoft Teams, which enables the following to take place:

- (a) Contributions to be received from people using a wide variety of devices, not all of whom are on the council network.
- (b) Being accessible to both participants and members of the public who are not taking an active role but just observing.
- (c) Presentations and documents (maps, plans, etc) to be displayed.

24.5 Before a meeting, any document to be referred to during the meeting should be shared with participants and the Agenda for the meeting shall be published 5 clear days in advance of the meeting on Transport for the North's website,

24.6 All Members and other participants in the meeting are asked to observe the following procedural rules:

- (a) Join the meeting promptly to avoid unnecessary interruptions;
- (b) Mute microphones when not speaking;
- (c) Indicate a wish to speak by using the chat function;
- (d) Only speak when invited to by the Chair;
- (e) Anyone speaking should state their name before making a comment;
- (f) Anyone speaking should turn on their video camera if possible;
- (g) If referring to a specific page or slide, mention the page or slide number.

24.7 The Chair and the meeting administrator may:

- (a) Switch on each active participant's microphone when they are invited to speak and switch them off afterwards.

- (b) Mute someone speaking at any time.
- (c) Mute everyone speaking except themselves at any time.
- (d) Allocate different levels of access to people logging in (based on upon whether they are a Member, an officer or a member of the public
- (e) If the meeting resolves to go into private session, the committee administrator will take down the live feed content from the public and just display a holding slide so that Members may continue to hold the meeting on Teams in private. The live stream can then be resumed when needed if the meeting resolves to go back into public session.

Voting

24.8 The Procedure Rules relating to voting will continue to apply.

24.9 To record a vote , the Monitoring Officer or another officer present, will perform a roll-call of all Members and ask them to state their voting intention (For, Against or Abstain). The weighted votes will then be recorded and calculated. At the conclusion of the voting the Chair shall announce the numbers of votes cast for, against and abstentions and the percentages of votes cast for each and announce whether the motion has been passed or not.

Access to information

24.10 The requirement to ensure meetings are open to the public now allows access by remote means, including video conferencing, live webcast and live interactive streaming. Where a meeting is accessible to the public through such remote means, the meeting is considered to be open to the public whether or not members of the public are able to attend the meeting in person.

24.11 The existing requirements for Transport for the North to ensure publication, posting or making available a document for inspection at its offices can now be met by publication on Transport for the North's website.

Schedule of Amendments

Paragraph No	Text	Amendment	Reason
5.4	All Members will be entitled to attend meetings of the Transport for the North Board, and if they are unable to attend, their nominated Substitute Member may attend in their place, but attendance shall be in person.	All Members will be entitled to attend meetings of the Transport for the North Board, and if they are unable to attend, their nominated Substitute Member may attend in their place, but attendance shall be in person unless Regulations allow virtual attendance	To enable virtual attendance so long as the Regulations allow this.
10.3	New Text	New members now include the northern representatives of the TUC, and representatives of The Committee on Climate Change, Disability Rights UK and Transport Focus.	To reflect the decision of the Transport for the North Board
	New Text	The Partnership Board shall consist of such members as the Transport for the North Board shall appoint from time to time	For clarification
10.3 (a)	The role of the Partnership Board is to represent wider business interests	The role of the Partnership Board is to represent wider business and community interests	To reflect the decision of the Transport for the North Board
10.5	The terms of Reference of the Rail North Partnership Board are included in this Constitution at Appendix 7.	Deleted	Correction – the terms of reference are only available in the Rail North Partnership Agreement which is not included in the Appendices
10.7	Transport for the North has taken over the role and functions of Rail North Limited in relation to the management of the TransPennine Express and Northern Rail Franchises and has established the Rail North Committee to oversee this role.	Transport for the North has taken over the role and functions of Rail North Limited in relation to the management of the TransPennine Express and Northern Rail Franchises. The company has now been wound up and Transport for the North has established the Rail North Committee to oversee this role.	For clarification

13.5	New text	<i>b) The Monitoring Officer shall be authorised to make minor amendments to the Authority's Constitution, following consultation with the Chief Executive, in order to give effect to changes to job or officer group titles, to reflect legislative changes, and to improve layout or correct typographical errors.</i>	To enable minor corrections and amendments to be made without reference to the Board provided the meaning of the Constitution is not changed.
17.1	New Text	The Transport for the North Board will not delegate the following functions: a) Adopting and changing the Constitution (<i>with the exception of the authority granted in paragraph 13.5 to the Monitoring Officer to make administrative amendments</i>)	To reflect the new 13.5 above
20.26	The political balance of each Scrutiny Panel should as far as reasonably practicable reflect the political balance of the elected Members on the constituent Authorities (or in the case of Combined Authorities their Constituent Authorities taken together).	Deleted	In practice this would be very difficult to implement and is unnecessary
21.1	Terms of Reference The Rail North Committee shall consider and advise the Transport for the North Board on the all matters relating to rail franchise management in the Rail North area including the following matters: a) The promotion and improvement of rail services in the area of Transport for the North and the wider Rail North area; through the improvement of franchised rail services	Terms of Reference The Rail North Committee shall consider and advise the Transport for the North Board on the all matters relating to rail franchise <i>and contract management</i> in the Rail North area including the following matters: a) The promotion and improvement of rail services in the area of Transport for the North and the wider Rail North area; through the improvement of franchised <i>and contracted</i> rail services	

	<p>b) The management of the performance of obligations under the franchise agreements let by the Secretary of State in respect of the carriage of passengers by rail;</p> <p>c) Recommending to the Transport for the North Board the Rail North business Plan and related annual budget and any Rail North policies in so far as they related to rail franchise matters.</p>	<p>b) The management of the performance of obligations under the agreements let by the Secretary of State in respect of the carriage of passengers by rail;</p> <p>c) Recommending to the Transport for the North Board the Rail North business Plan and related annual budget and any Rail North policies in so far as they related to rail franchise and contract matters.</p>	
21.2	New Text	<p>The Rail North Committee shall actively consider and advise the Transport for the North Board on strategic issues relating to rail transport including:</p> <ul style="list-style-type: none"> a) Priorities for services and infrastructure improvement b) Rail devolution and reform matters 	To implement the Blake-Jones Action Plan
21.11	<p>The Role of the ORG shall be to:</p> <ul style="list-style-type: none"> a) Review of draft Rail North Committee papers; b) Provide support to the Rail North Committee; c) Oversee the formulation and presentation of Rail North plans; d) Consult their appointing Member Authorities on rail franchise matters 	<p>The Role of the ORG shall be to:</p> <ul style="list-style-type: none"> a) Review and contribute to draft Rail North Committee papers; b) Provide support to the Rail North Committee Members on matters discussed at the Committee; c) Oversee the formulation and presentation of Rail North plans d) Consult their appointing Member Authorities on rail matters e) Represent their Member Authorities in Transport for the North and rail industry working groups 	To reflect the full role of the ORG

		<p>f) Report back to their Rail North Committee members on this activity</p> <p>g) contribute to reports to Rail North Committee on rail matters affecting the Constituent or Rail North Authorities</p>	
20.18	Rail North Lead Officer	Strategic Rail Director	To reflect current designation
24.9	New text	<p>Exempt Information - Exclusion of the Public from Meetings</p> <p>Transport for the North Board or its Committees may by resolution exclude the public from a meeting during an item of business whenever it is likely in view of the nature of the business to be transacted that if members of the public were present during that item there would be disclosure to them of exempt information as defined in paragraph 24.10 below. A resolution to exclude the public must identify the proceedings or part of the proceedings to which it relates and state the description of the exempt information</p>	Statutory provisions previously omitted
24.11	New text	Information which falls within paragraphs 29.1 to 7 above is exempt information if and so long as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.	Statutory provisions previously omitted
24.13	New Text	<p>Procedure Rules for Virtual Meetings – See A</p> <p>24.13 The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings)</p>	To provide for Virtual Meetings during the Covid 19 Pandemic

		<p>(England and Wales) Regulations 2020 make provision for remote or virtual attendance at all Transport for the North Board and Committee meetings to be held on or before 7 May 2021.</p> <p>24.14 The Regulations enable meetings to be held without the members being physically present in one place and enables meetings to be held at a virtual location through any form of digital communications provided Members are able to hear and be heard (and, where possible, see and be seen) by other Members and members of the public attending the meeting remotely.</p> <p>24.15 The Procedure Rules in Part 5 of the Constitution apply to virtual meetings in the same way as they do to other meetings of the Transport for the North Board and Committees except that in the case of any conflict, this Procedure Rule shall take precedence over other Procedure Rules in relation to the governance of Virtual Meetings.</p> <p>Process</p> <p>24.16 Transport for the North facilitates remote attendance and access to its meetings through the medium of Microsoft Teams, which enables the following to take place:</p> <p>(a) Contributions to be received from people using a wide variety of devices, not all of whom are on the council network.</p> <p>(b) Being accessible to both participants and members of the public who are not taking an active role</p>	
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		<p>but just observing.</p> <p>(c) Presentations and documents (maps, plans, etc) to be displayed.</p> <p>24.17 Before a meeting, any document to be referred to during the meeting should be shared with participants and the Agenda for the meeting shall be published 5 clear days in advance of the meeting on Transport for the North's website,</p> <p>24.18 All Members and other participants in the meeting are asked to observe the following procedural rules:</p> <p>(a) Join the meeting promptly to avoid unnecessary interruptions.</p> <p>(b) Mute microphones when not speaking..</p> <p>(c) Indicate a wish to speak by using the chat function.</p> <p>(d) Only speak when invited to by the Chair.</p> <p>(e) Anyone speaking should state their name before making a comment.</p> <p>(f) If referring to a specific page or slide, mention the page or slide number.</p> <p>24.19 The Chair and the meeting administrator may:</p> <p>(a) Switch on each active participant's microphone when they are invited to speak and switch them off afterwards.</p> <p>(b) Mute someone speaking at any time.</p> <p>(c) Mute everyone speaking except themselves at any time.</p> <p>(d) Allocate different levels of access to people logging in (based on upon whether they are a Member, an officer or a member of the public</p>	
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		<p>(e) If the meeting resolves to go into private session, the committee administrator will take down the live feed content from the public and just display a holding slide so that Members may continue to hold the meeting on Teams in private. The live stream can then be resumed when needed if the meeting resolves to go back into public session.</p> <p>Voting</p> <p>24.20 The Procedure Rules relating to voting will continue to apply.</p> <p>24.21 To record a vote , the Monitoring Officer or another officer present, will perform a roll-call of all Members and ask them to state their voting intention (For, Against or Abstain). The weighted votes will then be recorded and calculated. At the conclusion of the voting the Chair shall announce the numbers of votes cast for, against and abstentions and the percentages of votes cast for each and announce whether the motion has been passed or not.</p> <p>Access to information</p> <p>24.22 The requirement to ensure meetings are open to the public now allows access by remote means, including video conferencing, live webcast and live interactive streaming. Where a meeting is accessible to the public through such remote means, the meeting is considered to be open to the public whether or not members of the public are able to attend the meeting in person.</p> <p>24.23 The existing requirements for Transport for</p>	
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		the North to ensure publication, posting or making available a document for inspection at its offices can now be met by publication on Transport for the North's website.	
	Whistleblowing Policy	Replacement Whistleblowing Policy – See Appendix	Following Review
Appendix 5	New text	<p>Membership</p> <p>g) The three regional TUC officers of whom only one shall attend any one meeting</p> <p>h) A representative of Disability Rights UK</p> <p>i) A representative of the Committee for Climate Change</p> <p>k) A representative of Transport Focus</p> <p>l) such members as the Transport for the North Board shall appoint from time to time</p>	To reflect the decision of the Transport for the North Board and to provide for future decisions.
Appendix 5	a) The Partnership Board shall meet quarterly or at such intervals as the Partnership Board shall determine;	<p>Meetings</p> <p>a) The Partnership Board shall meet quarterly or at such intervals as the Transport for the North Board shall determine;</p>	For clarity and to reflect the Regulations
Appendix 7	Final Terms of Reference for the Rail North Partnership Board will be submitted to the Rail North Partnership Board when this formally convenes in April 2018, and therefore are not included here. However, the detailed principles of the Rail North Partnership Board are set out in paragraphs 5.1-5.13 and Schedule 2 of the draft DfT/Rail North Partnership Agreement.	The detailed principles of the Rail North Partnership Board are set out in paragraphs 5.1-5.13 and Schedule 2 of the DfT/Rail North Partnership Agreement.	The original wording has been superseded

SECTION F WHISTLEBLOWING POLICY

81 Whistleblowing Policy Statement

81.1 Transport for the North is committed to the highest possible standards of openness, probity and accountability and will not tolerate wrongdoing in its business.

81.2 Transport for the North is therefore committed to encouraging employees and other workers who have legitimate concerns about any of the organisation's activities to voice those concerns.
Transport for the North will protect individuals who make a protected qualifying disclosure with regard to instances of wrongdoing from any form of detriment in their employment and will investigate all concerns raised in the public interest.

81.3 Aims of This Policy

81.4 The aims of this Policy are to:

- a) Provide a means for you to raise a concern about suspected wrong-doing;
- b) Set out the safeguards that you can expect when raising concerns under this;
- c) Reassure you that reprisals or victimisation for whistleblowing in the public interest will not be tolerated ;
- d) Demonstrate Transport for the North's zero tolerance commitment to tackling fraud and corruption; and
- e) Demonstrate the organisation's commitment to treat all disclosures consistently and fairly.

This Policy It is available for use by all officers, agency and contract workers of Transport for the North.

82 What is Whistleblowing?

82.1 Whistleblowing is the term used when a worker passes on information about wrong doing in the work place. The Employment Rights Act 1996 as amended by the Public Interest Disclosure Act 1998 provides legal protection from detriment in their employment for employees who whistleblow. To be protected by current law the disclosure must be a "**qualifying disclosure**" and must comply with statutory conditions.

82.2 Definition of Qualifying disclosures

82.3 A qualifying disclosure is raising a concern that:

A criminal offence has been committed, is being committed or is likely to be committed;

A person has failed, is failing or is likely to fail to comply with a legal obligation to which that person is subject;

A miscarriage of justice has occurred, is occurring or is likely to occur;

The health and safety of any individual has been, is being or is likely to be endangered;

The environment has been, is being or is likely to be damaged;

Information tending to show any of the above is being or is likely to be concealed.

82.4 Conditions for Legal Protection

82.5 In order to be protected:

- a disclosure must be in the public interest;
- the worker must have a reasonable belief that the information shows that one of the categories of wrongdoing listed in the legislation has occurred; and
- the concern must be raised in the correct way.

82.6 Restrictions on the use of the Policy

82.7 This Whistleblowing Policy is intended to cover concerns that fall outside the scope of other procedures and which involve an issue in the public interest. It is not to be used where other more appropriate procedures are available. In particular concerns in relation to how you are being treated at work (e.g. bullying, harassment or discrimination) should be raised under the Dignity at Work Procedure and not under the Whistleblowing Policy.

82.8 Concerns about the actions of elected Members and Co-opted Members of Transport for the North's Boards and Committees should be raised under the Code of Conduct for Members and referred to the Monitoring Officer.

83 Whistleblowing Procedure

83.1 Employees are often the first to realise that there may be something seriously wrong within an organisation. Normally you would be expected to raise any concerns initially with your line manager.

83.2 This Whistleblowing policy encourages and enables employees and others with serious concerns about any aspect of Transport for the North's business to come forward and voice those concerns.

83.3 The Act directs you towards raising your concerns internally in the first place and, where there is a Whistleblowing Procedure in place, to use it. However, the Act will protect workers where they make external disclosures in a range of circumstances such as when obtaining legal advice or when making disclosures to prescribed persons such as regulators (see list of prescribed persons set out in paragraph 90.0 below under the heading **List of Prescribed Persons for External Whistleblowing.**)

84 Statutory Protection

84.1 The law protects employees who raise concerns in the public interest from being discriminated against or victimized in their workplace. However, if you choose to disclose information in a way which is not covered by the Act, then you will lose its protection.

85 Raising a Concern

85.1 You should raise any concerns promptly and report your concerns to your line manager in the first instance. However, you may raise a concern outside the normal

management reporting line if your concern is about the actions of your line manager or you do not believe the line manager will take your concerns seriously. You may raise your concerns with a senior manager or with one of the Transport for the North post holders listed below in paragraph 85.3 under the heading **List of Post Holders for Internal Whistleblowing** .

85.2 When reporting your concern it is recommended that if possible you use the **Reporting Form** attached at **Appendix B**.

85.3 List of Post Holders for Internal Whistleblowing

- a) **Your Line Manager;**
- b) **Your Director;**
- c) **Finance Director - Iain Craven;**
- d) **Chief Executive - Barry White;**
- e) **Head of Legal/ Monitoring Officer – Julie Openshaw;**
- f) **Head of HR – Stephen Hipwell.**

85.4 This Whistleblowing Policy encourages and enables staff and others with serious concerns about any aspect of Transport for the North's work or those with whom it is engaged, to come forward and voice their concerns.

85.5 Do not:

- a) Do nothing;
- b) Be afraid of raising your concerns;
- c) Approach or accuse any individuals directly;
- d) Try to investigate the matter yourself; or
- e) Convey your suspicions to anyone other than those listed in the List of Post Holders for Internal Whistleblowing or the List of Prescribed Persons for External Whistleblowing.

(See Appendix A for more detailed advice).

86 Dealing with a Concern

86.1 Transport for the North is committed to treating all concerns consistently and fairly. Where a concern is referred to a Line Manager, the Line Manager should consider the facts reported, together with any supporting documentation, and unless he or she has information which shows that the concerns are not valid should refer the matter immediately to the Finance Director for further enquiry.

86.2 If the concern is about either the Finance Director or the Chief Executive, the Monitoring Officer shall be informed and he/she will advise on how the investigation will proceed. Normally an external investigator will be appointed to investigate such allegations.

86.3 All concerns raised under this Whistleblowing Policy must be recorded in the central register and where they are not investigated further, the reasons why a concern has not been investigated should be recorded.

87 Procedure for Dealing with a Concern

- 87.1 The Finance Director will receive reports from employees or managers and will normally appoint a Designated Officer (DO) to conduct enquiries to establish the facts and the substance of any allegations/suspicions.
- 87.2 The DO will interview you to ascertain the basic facts and will:
- a) Ask you if you wish your identity to be kept confidential;
 - b) Give assurances against possible reprisals and victimisation;
 - c) Ask you for a written or verbal statement; and
 - d) Write a brief summary of the interview, which you will be asked to agree.
- 87.3 Where any meetings are arranged during the course of the investigation of your concerns you may, if you wish, be accompanied by a trade union representative or a work colleague.
- 87.4 The DO will report back to the Finance Director normally within 10 working days . If initial enquiries establish that there is a prima facie case for investigation the Finance Officer will request the DO to proceed with a further investigation. Exceptionally a concern may be referred to Transport for the North's Internal Auditors for investigation.
- 87.5 The DO will inform you of the course of action which has been agreed by the Finance Director i.e. whether to carry out an investigation or to take the matter no further in which case they will provide you with the reasons for that decision.
- 87.6 In some cases it may be necessary to conduct the investigation under terms of strict confidentiality, i.e. by not informing the subject of the referral until it becomes necessary to do so. This course of action is normally appropriate in cases of suspected fraud or corruption or other serious criminal offences. In certain circumstances, it may be necessary to suspend the individual(s) from work pending completion of the investigation.
- 87.8 You may be contacted again during the course of the investigation and may be asked to provide further information
- 87.9 The DO shall report back to the Finance Director on the investigation normally within 10 working days. The Finance Director shall decide the outcome of the investigation and any further necessary action and shall inform the Chief Executive.
- 87.10 A central record of all whistleblowing referrals will be kept and a regular review of all whistleblowing referrals will be undertaken to ensure that all concerns are being dealt with on a consistent basis.

88 Following the Investigation

- 88.1 If the investigation shows that there is a case to be answered by any employee, the matter will be considered under Transport for the North's Disciplinary Procedure. In cases where there is evidence of a criminal offence, the Police will be informed.
- 88.2 Transport for the North acknowledges the need to provide you with assurance that your concern has been properly addressed and, subject to any legal constraints, no

later than one month following the completion of the investigation, you will be advised of the outcome of the investigation (this will not include details of any disciplinary action, which will remain confidential to the individual concerned).

88.3 If you are not satisfied with the outcome of the investigation, Transport for the North recognises the lawful rights of its employees and ex-employees to make disclosures to the prescribed persons listed in paragraph 90.9 in the **List of Prescribed Persons for External Whistleblowing**. If this course of action is taken, you should inform the DO who will inform the Finance Director.

88.4 The Finance Director has overall responsibility for this policy and will undertake an annual review of referrals under the policy and will prepare an annual report on the working of the policy to the Audit and Governance Committee. Where appropriate, outcomes of matters arising from Whistleblowing cases will be publicised throughout Transport for the North as part of the ongoing promotion of the Anti-Fraud and Corruption Policy, although the confidentiality of any whistleblowers and of any disciplinary processes will be maintained.

89 Safeguards

89.1 Confidentiality

89.2 Where requested to do so, Transport for the North will make every effort to maintain the confidentiality of the source of all whistleblowing referrals and will endeavor not to disclose your identity unless required by law to do so.

89.3 Protection from Reprisal

89.4 Transport for the North recognizes that the decision to report a concern can be a difficult one to make, not least because of fear of reprisal from those accused of wrongdoing. The organisation will not tolerate harassment or victimisation and will take action to protect you if you raise a concern which you reasonably believe to be true. This action may include disciplinary action against those that subject you to detriment as a result of a whistleblowing referral.

89.5 If at any time either during or after the investigation, you feel that you have suffered victimisation or any detriment as a result of your whistleblowing referral including breach of your confidentiality as a whistle blower, you should contact the D O who will refer the matter to the Head of HR. Where action is required this will be led by the Head of HR under the Disciplinary Policy.

89.6 If, when you raise a concern, you are already the subject of a procedure such as disciplinary, improving performance, grievance or improving attendance these will not be halted as a result of your whistleblowing referral.

89.7 Anonymous Allegations

89.8 Allegations can be made anonymously. However, anonymous reports can be more difficult or even impossible to investigate if further information cannot be obtained from the whistleblower particularly where evidence is missing or scant. This policy encourages you to provide your name and contact details together with as much detail as you are able to supply when making your allegation.

89.9 Untrue Allegations

89.10 If you make an allegation which is malicious and/or false and/or one which you could not reasonably have believed to be true, then this may be considered an abuse of the Whistleblowing Policy and disciplinary action may be taken against you.

89.11 Independent Advice

89.12 If you are unsure whether to raise your concerns under this policy, or if you wish to obtain independent advice at any time you may contact:

Your Trade Union Representative

Your Solicitor; or

The independent charity Protect (formerly Public Concern at Work)

Protect Advice Line – whistle@protect-advice.org.uk Telephone no 020 3117 2520 (option 1)

90 External Contacts

90.1 The aim of this policy is to provide an internal mechanism for reporting wrongdoing in the workplace. In most cases you should not find it necessary to alert anyone externally.

90.2 The law recognises that in certain circumstances it may be necessary to report your concern to certain prescribed people and bodies. It is strongly recommended that you seek advice before you report your concerns to any one external to Transport for the North. If you tell a prescribed person or body it must be one which you reasonably believe deals with the issue you are raising. A list of the prescribed people or bodies is set out in paragraph 90.9 in the **List of Prescribed Persons for External Whistleblowing**.

90.3 Raising a Concern Externally

90.4 In order to retain legal protection if you raise your concern externally the concern must be a qualifying disclosure which meets the criteria for protection set out above in paragraph 82.3 under the heading **Definition of Qualifying Disclosures**.

90.5 You will only have legal protection if you raise your concern with a third party other than a prescribed body if you make the disclosure:

- in the reasonable belief that it is in the public interest and that the information and allegations are substantially true, and
- do not make the disclosure for personal gain, and
- have already raised the matter with TfN or a prescribed regulator, unless you reasonably believe that you will suffer a detriment, or there is no prescribed regulator and you reasonably believe that evidence will be concealed or destroyed if you make the initial disclosure to Transport for the North, and
- in all of the circumstances it is reasonable to make the disclosure.

90.6 Concerns of an exceptionally Serious Nature

90.7 You may raise your concern externally with legal protection without having first raised it internally if your concern is of an **exceptionally serious nature** and you make the disclosure:

- in the reasonable belief that it is in the public interest and, that the information and allegations are substantially true, and
- do not make the disclosure for personal gain, and
- in all of the circumstances it is reasonable to make the disclosure.

90.8 When considering whether it was reasonable for you to make the disclosure, regard will be had particularly to the identity of the person to whom the disclosure was made.

90.9 List of Prescribed Persons for External Whistleblowing

- 90.10
- **Your own Solicitor;** (to enable you to receive legal advice);
 - **Your MP;**
 - **A Prescribed Person or Body.**

A full list of all prescribed persons and bodies is on the Government Website. (www.gov.uk)

90.11 If you refer your concern to a prescribed person or body you must make sure that you have chosen the correct person or body for your concern.

90.12 The following are a few of the most relevant to Transport for the North's business:

- The Comptroller and Auditor General (about proper conduct of public business, value for money, fraud and corruption)
- The Information Commissioner (about compliance with Data Protection and Freedom of Information legislation)
- The Environment Agency (about an actual or potential effect on the environment)
- Equality and Human Rights Commission (about breaches or Equalities and Human Rights legislation)
- The Health and Safety Executive (about the health and safety of individuals at work or of the public)
- The Office of Rail and Road (about the provision of railway services)
- Your Local Authority (about health and safety at work)
- The Director of the Serious Fraud Office (in relation to the offering or taking of bribes)
- National Crime Agency (in relation to the offering or taking of bribes)
- The Secretary of State for Transport (about road or rail transport security).

Appendix A

How to Raise a Concern (Dos and Don'ts)

DO NOT Ignore the concern – it is important that you feel comfortable raising legitimate concerns in the public interest as this provides Transport for the North the opportunity to address the associated issues as soon as possible

DO Report your suspicions in line with this policy to your line management, the relevant programme management, Senior Management or the Finance Director. The decision on who to report your suspicions to will depend on the seriousness and sensitivity of the issues concerned and who is thought to be concerned in the wrongdoing. For example, if departmental management are involved then Transport for the North's Monitoring Officer can give advice and guidance on how the matter can be pursued.

Do make an immediate note of your concerns and deal with the matter promptly

The earlier you express your concern the easier it is to take action. Over time these details can be forgotten or remembered incorrectly which can make a concern more difficult to investigate and so it would help us if you make a note of your concerns at the time and let us know about them as soon as possible.

You will need to demonstrate that there are sufficient grounds for your concern. It would be useful to provide relevant information including where possible, but not limited to:

- The background and history to the case;
- The reason why you are particularly concerned;
- Any specific details available including names, dates, times and places;
- Details of any particular conversations that support the concerns;
- Details of any personal interest you may have in the matter; and
- How you think matters may be put right, if possible.

DO NOT be afraid of raising your concerns and if a manager **DO** be responsive to staff concerns

We want to encourage people to voice any reasonably held suspicions to help us to develop a culture of openness, honesty and accountability. All concerns should be treated sensitively and seriously and be subject to the necessary investigation and follow up communication where possible. If you are a manager receiving a concern you also need to make sure you send details of all referrals to the Finance Director for monitoring and action.

DO NOT approach or accuse any individuals directly or tell anyone about your suspicions except those with the proper authority'

If a concern is discussed with someone directly involved, then it creates an opportunity for evidence to be tampered with or removed.

Concerns should not be discussed with others who are not involved in a properly structured investigation. Doing so may leave you open to allegations of making defamatory comments should your concerns be unfounded as these could damage the reputation of individuals and Transport for the North even if there is no evidence of any wrongdoing.

DO NOT try to investigate the matter yourself.

There are special rules surrounding the gathering of evidence. Any attempt to gather evidence by people who are unfamiliar with these rules may adversely affect the outcome of the investigation as evidence has to be gathered in accordance with statutory requirements. This is of particular importance with regard to surveillance. If you are at all unsure about the gathering of evidence you should contact the Transport for the North legal team for advice.

All referrals will be treated in the strictest confidence.

APPENDIX B

RAISING A CONCERN AT WORK

REPORTING FORM

Name		
Contact Details	e-mail	
	Phone number	
Please Note – you do not need to give your name or contact details but if you do not do so it may not be possible to investigate your concerns without further information		
Short Description of your concern		
Names of any individuals involved		
Dates of any events		
Place of any events		
Details of any Documentary Evidence		
Names of any other witnesses		
Date of Complaint		

Transport for the North Board – Item 5

Subject: 2020/21 Quarter 1 Outturn and Budget Revision 1

Author: Paul Kelly, Financial Controller

Sponsor: Iain Craven, Finance Director

Meeting Date: Wednesday 29 July 2020

1. Purpose of the Report:

- 1.1 This report details the financial position of TfN for the three-month period ending June 2020.
- 1.2 It also provides a reforecast of the 2020/21 budget, taking into account the latest delivery and programme information.

2. Executive Summary:

- 2.1 Over the three-month period to June 2020, TfN incurred expenditure of £12.33m which was £2.17m below budget.
- 2.2 Of this shortfall, 70% has been generated by slower than expected progress on the IST programme, in particular Phase 1 (ITSO on Rail), where installation work has been impacted by restrictions on access to stations due to Covid-19. Officers are working with Network Rail and the TOCs to review implementation plans. In addition, Covid-19 has caused the deferral of planned external engagement activity, including the TfN Conference.
- 2.4 The following table summarises the base Budget and Revision 1.

	Base Budget £m	Revision 1 £m	Variance £m	Variance %
Programmes:				
Revenue Programmes	£51.30	£52.28	-£0.98	-2%
Capital Programmes	£4.04	£5.58	-£1.53	-6%
	£55.34	£57.86	-£2.52	-5%
Operational Areas (net)	£7.46	£7.76	-£0.30	-4%
Rail Operations	£2.98	£2.82	£0.15	5%
Committed budgets	£65.78	£68.44	-£2.66	-4%

Programme Contingency	£22.27	£18.06	£4.21	19%
Total	£88.05	£86.50	£1.55	2%

- 2.5 Please note that the table in 2.4 reflects a reallocation of £1.86m from capital to revenue programmes to correct a mismatch between the supporting and summary tables in the original Budget. The overall budget level was not affected.
- 2.6 TfN approved its “base” opening budget at the TfN Board meeting of 12 March 2020. This totalled £88.05m inclusive of £22.27m of programme contingency and a net budget of £65.78m. It was expected this budget would be updated three times over the course of the year.
- 2.7 Budget revision 1 is proposed to decrease the overall budget by £1.55m to £86.50m. However, as this includes a £4.21m reduction in programme contingency to £18.06m it represents an increase of £2.66m in TfN’s committed expenditure of £68.44m against the original budgeted amount of £65.78m.
- 2.8 An analysis of the overall budget variance across programmes and type of variance is detailed below:

Programme Expenditure (No contingency)	Base Budget £m	Slippage from 19/20 £m	Slippage to 20/21 £m	Changes in year £m	Revision 1 £m
IST Programme:					
Capital Expenditure	£4.04	£1.01	£0.00	£0.53	£5.58
Revenue Expenditure	£5.64	£0.00	£0.00	-£1.50	£4.15
	£9.69	£1.01	£0.00	-£0.97	£9.73
NPR Programme	£43.78	£0.00	£0.00	£3.53	£47.31
Strategic Development Corridors	£1.88	£0.04	-£1.08	-£0.01	£0.83
Total Programme Expenditure	£45.66	£0.04	-£1.08	£3.52	£48.14
Operational Areas	£7.46	£0.18	-£0.02	£0.14	£7.76
Rail Operations	£2.98	-£0.01	£0.00	-£0.14	£2.82
Committed Budgets	£65.78	£1.22	-£1.10	£2.54	£68.44
Contingency	£22.27	£0.00	£0.00	-£4.21	£18.06
Total Expenditure	£88.05	£1.22	-£1.10	-£1.67	£86.50

- 2.9 The operation of the TAME team has been impacted by the Covid-19 pandemic and the departure of senior staff members at the start of the year. This, combined with increased demands of the NPR programme to support the benefits case and the sifting programme, has prompted a more significant re-evaluation of the team’s 2020/21 Business Plan. The decision has therefore been taken to prioritise the delivery of the

extensive modelling outputs required to support the sifting process and the production of the SOC.

2.10 In consultation with TfN programme teams, the TAME team has identified four broad areas where it is appropriate to delay work until 2021/22 therefore allowing resources to be focused on NPR modelling and supporting the SOC. This is in addition to the deferral of NPR modelling activity not considered essential to support the sifting process and deliver the SOC:

- **Further model development** can be delayed where enhancements are not essential for this year's NPR and Investment Programme Benefits Analysis (IPBA) programmes.
- **Software systems** improvements designed to improve efficiency, resilience and assurance would be beneficial but can be delayed.
- **Sharing** Analytical Framework tools with TfN Partners should focus on a small number of easy demonstration projects, rather than the coordinated programme of sharing that was originally planned.
- **Delivery of Modelling and Appraisal to support the IPBA** will have its start date delayed from November 2020, when it would have coincided with peak activity to finalise the NPR SOC, to April 2021. This will help to de-risk the NPR SOC programme and enable delivery of higher quality outputs. Opportunities to improve preparedness for IPBA have also been identified, putting TAME in a stronger position to start the work in 2021 than would have been the case in 2020.

3. Financial Summary: Period 3 (June 2020) year to date

3.1 The table below summarises the three-month period ending June 2020.

	Actuals £m	Budget £m	Var. £m	Var. %
Integrated and Smart Ticketing	£1.70	£3.16	£1.46	46%
Northern Powerhouse Rail	£8.74	£8.76	£0.02	0%
Major Roads	£0.16	£0.19	£0.03	15%
Programmes	£10.60	£12.10	£1.51	12%
Rail Operations	£0.53	£0.84	£0.30	36%
Operational Areas	£1.21	£1.56	£0.35	23%
	£12.33	£14.50	£2.17	15%

3.2 Programme Areas

Integrated & Smart Ticketing Programme (IST)

3.3 There was a programme wide underspend of £1.46m in the three-month period to June 2020. This arose from the separate phases as follows:

Phase 1

- The total Phase 1 underspend versus the Budget is £1.04m.
- Working restrictions impacted on the ability of the franchises to deliver effective marketing initiatives.
- The issues in relation to contracting undertaken by Northern since Autumn 2019 have continued to cause delays.
- The delivery of platform validator machines and other pieces of field equipment, largely manufactured in China, was delayed. This was exacerbated by lockdown measures that impacted upon the ability of contractors to gain access to sites to install equipment.
- Programme schedules are currently being revised by the TOC's.

Phase 2/3/4 and Programme Team

- The total underspend on Phases 2,3 and 4 versus the Budget is £0.42m.
- This largely reflects lower than forecast external support costs.
- Activity on Phase 4 remains low pending IPDC review / approval of the Strategic Outline Case.

Northern Powerhouse Rail

3.4 The overall NPR programme incurred expenditure in line with budget with overspends and underspends within elements of the programme:

- This reflects expenditure £1.24m ahead of budget on the Network Rail contract as activity continues to accelerate to the conclusion of the Sequence 4 activity. The variances to date are against the forecast compiled in February. These overspends against budget are fully funded through Transport Development Fund commitments received from DfT and have been reflected in the Revision 1 reforecast.
- Overspend against this contract was offset by an underspend of £0.39m on budgeted Pre-sequence 5 activity by Network Rail, a number of key contracts and delayed recruitment activities that were deferred until the Department for Transport was in a position to commit funding.
- Underspend on modelling work of £0.24m year to date due to delays to contracting new activity, notably around freight.
- Vacancies within the TAME structure continued to drive underspends in the recharged staff budget of £0.36m year to date.

The use of contractors to fill the remaining positions from July will see activity accelerate in the next quarter.

Strategic Development Corridors

3.5 Budgeted expenditure for the first three periods was only £0.19m against which there was an underspend of £0.03m.

3.6 Operations

Rail Operations

3.7 Net expenditure was £0.53m against a budget of £0.84m, representing an underspend of £0.3m in the three-month period across the Rail North Partnership and Strategic Rail teams. This principally reflects underspend due to staff vacancies and associated onboarding costs.

Operational Areas

3.8 Net expenditure across the operational areas of £1.21m representing an underspend of £0.35m against the budget of £1.56m. This largely relates to underspend in Business Capabilities as a result of COVID-19 with the deferral of activity (including the TfN conference), significantly reduced facilities expenditure and underspend in Core funded modelling activity due to vacancies and delays to forecast data purchases. These activities are anticipated to be delivered in the remaining part of the year.

4.0 Budget Revision 1

4.1 The table below summarises the reforecast of net budgets with separately disclosed contingency. This shows an overall decrease in budget of £1.55m.

	Base Budget £m	Revision 1 £m	Variance £m	Variance %
Programmes:				
Revenue Programmes	£51.30	£52.28	-£0.98	-2%
Capital Programmes	£4.04	£5.58	-£1.53	-6%
	£55.34	£57.86	-£2.52	-5%
Operational Areas (net)	£7.46	£7.76	-£0.30	-4%
Rail Operations	£2.98	£2.82	£0.15	5%
Committed budgets	£65.78	£68.44	-£2.66	-4%
Programme Contingency	£22.27	£18.06	£4.21	19%
Total	£88.05	£86.50	£1.55	2%

- 4.2 Budget revision 1 is proposed to decrease the overall budget by £1.55m to £86.50m. However, as this includes a £4.21m reduction in programme contingency to £18.06m it represents an increase of £2.66m in TfN's committed expenditure of £68.44m against the original budgeted amount of £65.78m.

Programme Areas

- 4.3 The following table summarises net budgets (excluding contingency) by programme.

Programme Expenditure (No contingency)	Base Budget £m	Revision 1 £m	Variance £m	Variance %
IST Programme:				
Capital Expenditure	£5.91	£5.58	£0.33	6%
Revenue Expenditure	£3.77	£4.15	£-0.38	-10%
	£9.69	£9.73	£-0.04	0%
NPR Programme	£43.78	£47.31	£-3.53	-8%
Strategic Development Corridors	£1.88	£0.83	£1.05	56%
Total Programme Exp.	£55.35	£57.86	£-2.51	-4%

IST Programme

- 4.4 The overall budget of the IST programme is forecasted to increase by £0.04m. The analysis by phase is detailed in the following table.

(No Contingency)	Base Budget £m	Revision 1 £m	Variance £m	Variance %
Phase 1	£3.56	£4.90	£-1.34	-38%
Phase 2	£2.66	£2.58	£0.08	3%
Phase 3	£0.98	£0.12	£0.87	88%
Phase 4	£0.89	£0.35	£0.55	61%
IST Programme Support	£1.60	£1.79	£-0.19	-12%
	£9.69	£9.73	£-0.04	0%

- 4.5 The increase in forecast across Phase 1 is due to a combination of slippage from 2019/20 of £0.92m and addition of £0.84m in-year to fund additional PVALs at stations.
- 4.6 The reduction in forecasts on Phase 3 represents the cessation of work from June 2020, reflecting the uncertainty over how and when contactless on rail will proceed at a national level.

- 4.7 The reduction in forecasts on Phase 4 represents the reduction in activity whilst TfN awaits a response from DfT in relation to the Phase 4 SOC and the associated funding commitment, which is not expected until the autumn. If approval for the SOC is received from the Department in the meantime, TfN will proceed with activity to the extent that it is in receipt of the funding that it has requested and provide a revised budget to the next available TfN Board meeting.

Northern Powerhouse Rail Programme

- 4.8 The Budget Revision 1 for the NPR programme, including contingency movements, is detailed below. Whilst the overall forecast, including contingency, has remained static at £59.95m, the net committed amount has increased by £3.48m to £47.31m, with a corresponding decrease in the overall contingency level.

NPR	Base Budget £m	Revision 1 £m	Variance £m	Variance %
Committed Budget:				
Programme Development	£13.40	£12.83	£0.57	4%
Network Rail Studies	£26.40	£30.56	£-4.16	-16%
Programme Support	£3.03	£2.96	£0.07	2%
Core Team	£0.95	£0.95	£0.00	0%
	£43.78	£47.31	£-3.53	8%
Uncommitted Contingency:				
<u>Earmarked Resource</u>	-			
Programme Development	£1.20	£0.00	£1.20	100%
Ground Investigations (Leeds-Hull)	£1.20	£0.50	£0.70	58%
Constructability Assessment	£6.00	£5.00	£1.00	17%
Network Rail Studies	£3.16	£0.00	£3.16	100%
	£11.56	£5.50	£6.06	52%
Unearmarked Resource	£4.62	£7.14	£-2.53	-55%
	£59.95	£59.95	£0.00	0%

NPR Programme Development

- 4.9 The operation of the TAME team has been impacted by the Covid-19 pandemic and the departure of senior staff members at the start of the year. This, combined with increased demands of the NPR programme to support the benefits case and the sifting programme, has prompted a more significant re-evaluation of the team's 2020/21 Business Plan. The decision has therefore been taken to prioritise the delivery of the

extensive modelling outputs required to support the sifting process and the production of the SOC.

- 4.10 This has resulted in non-essential NPR modelling activity being deferred to allow the team to focus on its core priorities. This has resulted in a decrease in expenditure of £0.96m and, whilst this has been offset by the extension of delivery contracts for Scheme Development and Programme Support, this has resulted in an overall reduction in the Programme Development budget of £0.57m to £12.83m. The earmarked contingency associated with Programme Development has also been removed.

NPR Network Rail Studies

- 4.12 Further work to understand the level of work required from Network Rail in support of the programme has been undertaken since the Budget was prepared earlier in the year. This exercise has identified additional activity required to undertake the sifting process and deliver the SOC. This has resulted in an increase in the forecast Network Rail expenditure for the year of £4.16m. TfN has received funding commitment from the DfT in relation to this activity and removed the associated earmarked contingency.

Strategic Development Corridors

- 4.13 The Investment Programme Benefits Analysis (IPBA) work (previously known as Strategic Development Corridors Quantitative Assessment – SDC2b) was originally planned for completion by September 2021. Due to available capacity in the Modelling team and other priorities (including the NPR SOC, the Economic Recovery Plan in response to Covid-19 and Decarbonisation), this work is now expected to start in the following financial year and will be completed in Spring 2022.
- 4.14 The revised completion date means that the team will only be able to feed-in part of the investment case to Government in 2021, as while the qualitative assessment providing the evidence for sequencing options will be complete, the benefits of each of these options will not be available. There will, however, still be time to provide inputs into future rail and road investment strategies. In addition, the qualitative work can feed into the Economic Recovery Plan.
- 4.15 Whilst this will result in a decrease in planned activity for the delivery team, it will free up resources to help manage and co-ordinate TfN's response to Covid-19 (including the development of TfN's Economic Recovery Plan) and decarbonisation. In addition, the completed, but as yet unpublished, Major Roads Report will require significant amendment to recognise the impact of Covid-19 on travel patterns in the North.

Rail Operations

- 4.16 Rail operations shows a decrease in the base budget of £0.15m.
- 4.17 The majority of this decrease relates to delayed engagement of Blake Jones resources. Budget Revision 1 assumes these resources will be in place by September 2020, although there is a risk of further delay as there is still no clarity on when or if the funding will become available.

Operational Areas

- 4.18 Forecast expenditure in Budget Revision 1, after recharges, has increased by £0.3m
- 4.19 This increase mainly relates to the Strategy and Policy function and includes:
- Brought forward activity from 2019/20 of £0.18m
 - An increase in costs due to an omission in the base budget of £0.12m.

Operational Areas	Base Budget £m	Revision 1 £m	Variance £m	Variance %
Leadership	£0.32	£0.30	£0.01	4%
Finance & Business Systems	£1.35	£1.35	£0.00	0%
Business Capabilities	£3.78	£3.76	£0.01	0%
Programme Management Office	£0.32	£0.35	-£0.02	-7%
Strategy & Policy	£2.70	£3.00	-£0.29	-11%
Total Expenditure	£8.46	£8.76	-£0.30	-3%
Recharges to Programmes	-£1.00	-£1.00	£0.00	0%
Net Expenditure	£7.46	£7.76	-£0.30	-3%

5. Funding

- 5.1 The Revision 1 budget of £86.50m (inclusive of contingency) will be resourced as follows:

Funding	Base Budget £m	Revision 1 £m	Variance £m
Core Grant	£10.00	£10.00	£0.00
IST Grant	£15.78	£15.14	£0.64
NPR - TDF Grant	£59.00	£59.00	£0.00
Rail Operations Grants:	£1.88	£1.79	£0.09
<i>Esk Valley</i>	£0.08	£0.08	£0.00
<i>DfT Grant</i>	£0.68	£0.68	£0.00
<i>Local Contributions</i>	£0.62	£0.62	£0.00

<i>DfT - New Responsibilities</i>	£0.27	£0.18	£0.09
<i>Network Rail (TRU)</i>	£0.23	£0.23	£0.00
Total In-Year Grant	£86.66	£85.93	£0.74
Use of Reserves	£1.39	£0.57	£0.82
Total Resource	£88.05	£86.50	£1.56

- 5.2 The funding overall funding envelope for NPR activity remains unchanged, as the overall increase in committed expenditure is funded from is funded from contingency in the TDF allocation set aside for that purpose.
- 5.3 The reduction in the draw on reserves of £0.82m, will increase the forecast year-end Core cash reserve to £5.89m.

6. Conclusion:

- 6.1 This report provides an update on TfN's financial position over the first three months of the year and a reforecast of the 2020/21 budget.
- 6.2 In accordance with TfN's approach to updating budgets, Budget Revision 1 has been compiled based on latest programme and operational input.

7. Recommendation:

- 7.1 Note and comment on the contents of this report and approve the Budget Revision 1.

List of Background Documents:

There are no background papers to this report.

Required Considerations

Equalities:

Age	Yes	No
Disability	Yes	No
Gender Reassignment	Yes	No
Pregnancy and Maternity	Yes	No
Race	Yes	No
Religion or Belief	Yes	No
Sex	Yes	No
Sexual Orientation	Yes	No

Consideration	Comment	Responsible Officer	Director
Equalities	A full Impact assessment has not been carried out because it is not required for this report.	Paul Kelly	Iain Craven

Environment and Sustainability

Yes	No
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Consideration	Comment	Responsible Officer	Director
Sustainability / Environment – including considerations regarding Active Travel and Wellbeing	A full impact assessment has not been carried out because it is not required for this paper.	Paul Kelly	Iain Craven

Legal

Yes	No
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Consideration	Comment	Responsible Officer	Director
Legal	The legal implications have been considered and are included in the report.	Julie Openshaw	Dawn Madin

Finance

Yes	No
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Consideration	Comment	Responsible Officer	Director
Finance	The financial implications have been considered and are included in the report.	Paul Kelly	Iain Craven

Resource

Yes	No
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Consideration	Comment	Responsible Officer	Director
Resource	TfN HR Team has confirmed there are no resource implications.	Stephen Hipwell	Dawn Madin

Risk

Yes	No
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Consideration	Comment	Responsible Officer	Director
Risk	A risk assessment has been carried out and the key risks are included in the report.	Haddy Njie	Iain Craven

Consultation

Yes	No
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Consideration	Comment	Responsible Officer	Director
Consultation	A consultation has not been carried out because it is not required for this report.	Paul Kelly	Iain Craven

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Transport for the North Board – Item 6

Subject: Updated Draft Corporate Risk Register

Author: Haddy Njie, Risk Manager

Sponsor: Iain Craven, Finance Director

Meeting Date: Wednesday 29 July 2020

1. Purpose of the Report:

1.1 Transport for the North has updated the Corporate Risk Register to reflect the Key Performance Indicators (KPIs) and business objectives outlined in the Business Plan for Financial Year 2020/21. In addition to the principal risks associated with the organisation's KPIs, the business has also identified and continues to manage the impacts of the coronavirus pandemic.

1.2 The intention of the report is to provide TfN Board Members with:

- An update on the organisational risks relating to the business KPIs/objectives which can be found in the Corporate Risk Register;
- Information on the additional risks that have arisen as a result of the COVID-19 pandemic.

2. Executive Summary:

2.1 It is essential that Transport for the North recognises, understands and manages the range of corporate risks that could negatively impact on its ability to achieve its objectives.

2.2 Transport for the North's corporate risks stem from the agreed KPIs and from a range of other sources, some of which are beyond Transport for the North's direct control. The challenges and uncertainty faced by Transport for the North create both threats that need to be addressed, and opportunities that can potentially be exploited.

2.3 Consistent with the Transport for the North risk management strategy, the Corporate Risk Register was discussed at the Audit and Governance Committee meetings on 12 June and 16 July 2020 and approved at the latter meeting for presentation to the Transport for the North Board.

3. Consideration:

- 3.1 Transport for the North's approach to managing risk is described in its Risk Management Strategy ("RMS") which sets out guidance for how risks are identified, assessed, managed and reported. The RMS has been applied in updating the Corporate Risk Register.
- 3.2 It is essential that Transport for the North and its programme teams recognise, understand and manage the risks that could negatively impact on the ability to achieve the objectives and priorities.
- 3.3 The TfN Board Members are asked to consider the corporate risks that the organisation is facing. In addition, Transport for the North is seeking approval from the Board on the Corporate Risk Register.

4. Recommendation:

- 4.1 The July TfN Board meeting provides an opportunity for Transport for the North to present the updated corporate risks that the organisation is managing. Board Members are asked to consider the report and to approve the corporate risk register.

5. Appendices:

- 5.1 Item 6.1 – Transport for the North's Draft Corporate Risk Register.

Required Considerations

Equalities:

Age	Yes	No
Disability	Yes	No
Gender Reassignment	Yes	No
Pregnancy and Maternity	Yes	No
Race	Yes	No
Religion or Belief	Yes	No
Sex	Yes	No
Sexual Orientation	Yes	No

Consideration	Comment	Responsible Officer	Director
Equalities	A full impact assessment has not been carried out because it is not required for this report.	Haddy Njie	Iain Craven

Environment and Sustainability

Yes	No
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Consideration	Comment	Responsible Officer	Director
Sustainability / Environment – including considerations regarding Active Travel and Wellbeing	A full impact assessment has not been carried out because it is not required for this report.	Haddy Njie	Iain Craven

Legal

Yes	No
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Consideration	Comment	Responsible Officer	Director
Legal	A full legal impact assessment has been carried out and can be found in the report.	Debbie Dimmock	Julie Openshaw

Finance

Yes	No
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Consideration	Comment	Responsible Officer	Director
Finance	The Finance Team has reviewed this report and confirmed that the financial implications are included within the report.	Paul Kelly	Iain Craven

Resource

Yes	No
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Consideration	Comment	Responsible Officer	Director
Resource	The resource considerations can be found in the report.	Stephen Hipwell	Dawn Madin

Risk

Yes	No
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Consideration	Comment	Responsible Officer	Director
Risk	A full corporate risk assessment activity took place which can be found in Item X	Haddy Njie	Iain Craven

Consultation

Yes	No
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Consideration	Comment	Responsible Officer	Director
Consultation	A consultation has not been carried out because it is not required for this report.	Haddy Njie	Iain Craven

Draft Transport for the North Corporate Risk Register

Financial Year 2020/21

Updated: 21/07/20



Introduction to Transport for the North's Corporate Level Risks

It is essential that Transport for the North (TfN) recognises, understands and manages the range of risks that could negatively impact on its ability to achieve the objectives set out in the 2019/2020 Business Plan. TfN's approach to managing risk is set out in its Risk Management Strategy which provides guidance for how risks are identified, assessed, managed and reported. Each programme and corporate function within TfN has its own risk register that is updated on either a monthly or fortnightly cycle, with clear reporting in line with governance arrangements. At the apex of these arrangements is the annual reporting of the corporate level risks to TfN Board.

TfN uses programme information to identify cross cutting risk themes that are sufficiently significant, either in their own right or in aggregate, to be reported to and discussed by the Board as risks requiring corporate focus. TfN's corporate risks stem from a range of sources, some of which are beyond TfN's direct control. The challenges and uncertainty faced by TfN create both threats that need to be addressed, and opportunities that can potentially be exploited.

The 2019/20 corporate risk report presents the corporate risks that might directly have an impact on TfN's business plan objectives. To ensure effective management of risks, the reports provides full risk information such as the proximity of the risk, potential consequences on TfN's objectives and priorities and the mitigation measures in place to manage the downside risks.

Table 1 summarises TfN's corporate level risks and the senior owner. **Table 2** outlines TfN's defined Probability Impact Criteria to undertake the qualitative assessment of the risks in order to produce a risk exposure score for each risk. **Table 3** provides a guideline in regard to the assessment of TfN's level of control on the proposed mitigation risk plans. **Table 4** provides a detailed analysis of each risk, the mitigating actions that have been adopted and the mitigation level of controllability as it is important to understand the extent to which TfN is able to influence or control the risk outcomes.

Table 1: Summary of TfN’s Corporate Risk Themes, Probability / Impact Assessments and Ownerships

Corporate Risk Theme	Risk Probability	Nature of Risk Impact	Current Risk Impact	Post Mitigation Risk Impact	Risk and Mitigation Strategy Owner
The Covid-19 Pandemic prevents or delays TfN from delivering its objectives	An Issue	<ul style="list-style-type: none"> • Business deliverables may not be completed on time if: • (i) a significant number of staff within TfN or its supply chain are affected by COVID-19 • (ii) TfN decision making / governance processes are impacted by the availability of Constituent Authority or departmental colleagues • (iii) Covid-19 related uncertainty causes wider policy announcements to be delayed. • There is the potential for additional costs to be incurred through the measures that might be put in place to address the issues caused by Covid-19. 	High	Medium	TfN Chief Executive (Barry White)
TfN Reputational and Political Engagement	High	<ul style="list-style-type: none"> • Difficulty in gaining access to funding. • The lack of clarity with regard to function. • Relationship and reputation impact. 	High	High	Business Capabilities Director / Finance Director (Dawn Madin / Iain Craven)
Embedding the Strategic Transport Plan across Programmes (STP)	Low	<ul style="list-style-type: none"> • Misalignment of Programme Objectives. • It is likely to create siloed working culture causing business issues. • Possible failure to deliver projects, thus affecting the delivery of benefits set out in the STP. 	High	Medium	Strategy and Programme Director (David Hughes)

Corporate Risk Theme	Risk Probability	Nature of Risk Impact	Current Risk Impact	Post Mitigation Risk Impact	Risk and Mitigation Strategy Owner
Delivery of Robust and Compelling Evidence to Support Investment Programmes	High	<ul style="list-style-type: none"> An insufficiently compelling evidence base, particularly around the economic case required by the 'Green Book' may delay or prevent strategic transport infrastructure investments being made, with consequential impacts on TfN's ability to deliver its objectives. Not making a transformational case could damage TfN's reputation with partners as an organisation who's key objective is to take a leadership role in delivering innovative business cases to secure investments. 	High	Medium	Strategy and Programme Director / TfN Programme Directors (David Hughes / Tim Wood, Peter Molyneux, David Hoggarth, Jeremy Acklam)
Transport Decarbonisation and Climate Change Emergencies	Medium	<ul style="list-style-type: none"> There is a risk that TfN falls behind in developing appropriate and timely policy positions to support decarbonisation of transport, and thereby fails to integrate them into its strategic transport development plans. This would potentially result in an investment programme that is misaligned to partner / central government policies. Failure to develop relevant policy positions adversely impacts on TfN credibility and influence as a Sub-National Transport Body. 	High	Medium	Strategy and Programme Director (David Hughes)
TfN Operations	High	<ul style="list-style-type: none"> TfN might have insufficient funding to meet its aspirations. Prevents TfN from delivering its commitments Failure to recruit and retain the right skills could impact TfN's ability to deliver. 	High	High	Finance Director / Business Capabilities Director

Corporate Risk Theme	Risk Probability	Nature of Risk Impact	Current Risk Impact	Post Mitigation Risk Impact	Risk and Mitigation Strategy Owner
					(Iain Craven / Dawn Madin)
TfN Compliance with Relevant Laws and Regulations	Low	<ul style="list-style-type: none"> Potential reputational impacts with both stakeholders and the public. Financial impact including fines or other penalties for breach of statutory obligations such as Data Protection, Freedom of Information or Health and Safety legislation. The ICO may issue a decision notice or the HSE may issue an enforcement notice if it found that TfN was in breach of the legislation. 	High	Medium	Business Capabilities Director / Head of Legal Services (Dawn Madin / Julie Openshaw)
Revised Framework - Delivery of Contactless on Rail and Local Smart Ticketing	Medium	<ul style="list-style-type: none"> Possible non-delivery of full customer benefits for the North. Reputation impact to the programme and the business. 	Very High	Very High	IST Programme Director (Jeremy Acklam)
The Northern Powerhouse Rail (NPR) Strategic Outline Case (SOC)	Medium	<ul style="list-style-type: none"> Failure to achieve agreed corridor options from the sifting process is likely to result in delays to the SOC beyond the movements in the programme already communicated (i.e. the SOC to be approved in March 2021). If TfN is unable to submit and receive endorsement for the SOC, it may impact on future funding as Government would not want to approve the SOC without TfN Board endorsement. 	Very High	High	NPR Programme Director (Tim Wood)

Corporate Risk Theme	Risk Probability	Nature of Risk Impact	Current Risk Impact	Post Mitigation Risk Impact	Risk and Mitigation Strategy Owner
Rail Operations (Franchise Management and Investment)	Very High	<ul style="list-style-type: none"> Passenger volumes reduced due to social distancing measures and government guidance leads to nervousness in passengers returning to pre-COVID levels leading to reduced case for investment. 	Very High	Very High	Strategic Rail Programme Director (David Hoggarth)

Table 2: Transport for the North's Probability Impact Scoring Criteria

TfN's Probability Impact Criteria as illustrated below, is a risk management tool that enables the risk likelihood and impact to be calculated to produce an aggregated risk severity and exposure for each risk. The corporate risks are plotted according to the probability of occurrence and the impact upon an activity should the risk happen.

The qualitative risk ranking (risk score) could be generated by multiplying the probability with the maximum of the impacts (i.e. financial, reputation etc.) for each risk.

Rating Number	Probability (%)	Rating	Impact Rating Definition
5	100% likelihood that the risk will materialise	An Issue	One or more of the implications will have an effect on business plan objectives.
4	81-100	Very High	<ul style="list-style-type: none"> • Financial Implication: £>2m • Schedule Implication: > 12 (months) • National long-term negative media coverage, significant loss of trust and credibility • Severe relationship issues with partners and/or third parties (such as Local Authorities, public)
3	51-80	High	<ul style="list-style-type: none"> • Financial Implication: £1m - £2m • Schedule Implication: 9 - 12 (months) • National short-term negative media coverage • There is evidence of relationship issues with partners/or and third parties (such as Local Authorities, public)
2	21-50	Medium	<ul style="list-style-type: none"> • Financial Implication: £500K - £1m • Schedule Implication: 3 - 9 (months) • Local media damage • No or minor strained relationship with partners and/or third parties (such as Local Authorities, public)
1	< = 20	Low	<ul style="list-style-type: none"> • Financial Implication: £0 - £500K • Schedule / Time delay Implication: 0 - 3 (months) • Local media attention quickly remedied • No strain relationship with partners and/or third parties (such as Local Authorities, public)

Table 3: Qualitative Assessment of the Levels of Controllability on the Mitigation Action Plans

In order to assist the user to understand how TfN's key risks are impacted by the mitigation activities set out in this document, TfN has assessed the level of control on the mitigation risk action plans and the extent to which TfN is able to influence or control those risk outcomes.

The following corporate risks have been subject to an evaluation by identifying the:

- **Controllable Mitigations:** these are mitigation strategies that TfN has the power / ability to implement and as a result, contribute to the successful mitigation of the associated risk.
- **Dependency Mitigations (Controllable):** The identified mitigations require a collaborative effort with relevant partners or other stakeholders in order to be successful in the management of the action plans. Although, the mitigations are deemed as dependency, TfN may be able to deploy additional resources to increase its ability to influence risk outcomes.
- **Dependency Mitigations (Limited Control):** The identified mitigations must be a collaboration with the relevant internal and external parties and requires a buy-in. For example, national and local political buy-in. Without joint involvement, the likelihood of the risk materialising increases. Whilst TfN can attempt to influence the factors impacting on these risks, it has a low level of control over if/how these mitigations are implemented.

Guideline: Level of Mitigation Controllability

Mitigation Control Level	Mitigation Control Level Assessment
Controllable Mitigations	High
Dependency Mitigations (Controllable)	Medium
Dependency Mitigations (Limited Control)	Low

Table 4: Qualitative Risk Analysis of TfN's Corporate Level Risks

Risk ID: TCR01 Risk: The COVID-19 Pandemic Prevents or Delays TfN from Delivering its Objectives	
Risk Description	<p>The coronavirus pandemic is a threat that is directly impacting upon the delivery of TfN's programmes and Business Plan Key Performance Indicators (KPIs). The lock down and associated measures to prevent the disease from spreading have resulted in homeworking across the entire organisation (as well as the country as a whole including significant supply chains). This has created four key risks for Transport for the North (TfN) business operations:</p> <ol style="list-style-type: none"> 1) A significant number of staff within TfN or its supply chain might be affected by the coronavirus, or by steps taken by suppliers to respond to the economic pressures caused by the pandemic; 2) TfN decision making / governance processes might be impacted by the availability of Constituent Authority or departmental colleagues; 3) The COVID-19 related uncertainty causes wider policy announcements to be delayed; and 4) The pandemic reduces the efficiency with which certain activities can be delivered and therefore increases the costs associated with delivering them.
Risk Proximity	Short-Term to Medium-Term
Risk Probability	(1) Medium (2) High (3) An Issue (4) Medium
Assessed Risk Impact	(1) High (2) High (3) High (3) Medium
Potential Impact (Qualitative Description)	<ul style="list-style-type: none"> • TfN's key programme and business deliverables may not be completed on time if the number of staff affected by the COVID-19 is significant. • In addition, TfN's ability to take forward its programmes will be affected if partner officers and other stakeholders are unable to fully engage in Client Reference groups and other TfN governance processes. • Impacts on central government decision-making in key areas such as the Integrated Rail Plan, the Environment Bill, the Williams Review and the CSR will also impact upon TfN's ability to drive programmes.

Mitigation Action Plans and Level of Controllability

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	Organisational and Individual Directorate Contingency Plans have been developed and are now in place. These are further underpinned by TfN Corporate Business Continuity Plan (BCP). This includes identification of a core Crisis Management Team to coordinate all business-critical activities should these plans need to be instigated, and to maintain effective communication with employees.	High	Controllable Mitigations
2	Programme and policy teams to identify and focus on the critical organisational outputs and deploy the available resources in the achievement of those priorities.	High	Controllable Mitigations
3	Programme teams continue to realistically re-programme delivery plans and communicate changes to partners; continue to work with consultants and partners and where possible provide support.	High	Dependency Mitigations (controllable)
4	To continue to deliver the TfN Business Plan where possible so as to minimise delays in delivering outputs and allow activity to be expedited once policy decisions by central Government have been communicated.	High	Dependency Mitigations (Limited Control)

Corporate Risk and Mitigation Owners	Risk Owner (Barry White) Mitigation Ownership (Heads of Services) – Departmental Contingency Plans
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Risk ID: TCR02**Risk Theme: Transport for the North’s Reputational and Political Engagement**

Risk Description	<p>Given the range of priorities facing central government, local partners, and other stakeholders,, including the challenges of the COVID-19 pandemic there is a risk that:</p> <p>(1) There is a lack of clarity with regard to the function of, and the funding arrangements for, Sub-national Transport Bodies which prevents the organisation from fulfilling its objectives and delivering its programme of works. The risk has been heightened by the recent announcements regarding the Northern Transport Acceleration.</p> <p>(2) Transport for the North does not achieve a funding settlement in the Spending Review that allows it to successfully deliver its stated objectives.</p> <p>(3) There is a mismatch between the expectations placed upon TfN and its ability to influence events / decisions in the short to medium term that is not aligned to the formal powers that have been granted.</p> <p>(4) TfN’s funding arrangements might leave it unable to act in a way that delivers the aspirations of its members and inspire confidence for continual working relationships with our delivery partners and to the passenger of the North of England</p>
Risk Proximity	Short to Medium term
Risk Probability	(1) High (2) High (3) High
Assessed Risk Impact	(1) High (2) High (3) High
Potential Impact (Qualitative Description)	<ul style="list-style-type: none"> • Inadequate funding for core functions or programmes may make it difficult for TfN to “speak with one voice”, influence decisions, or access infrastructure funding. • Failure to make timely decisions with regard to projects and programmes, and could delay or prevent the benefits of strategic transport infrastructure from being delivered. • TfN’s credibility could be negatively impacted by being unable to deliver across an “expectation gap”. • TfN’s funding arrangements prevent it from deploying resources to mirror northern priorities.

Mitigation Action Plans and Level of Controllability

In order to be successful, TfN requires continuous 'buy-in' at a high level from a number of stakeholders. The "One Voice" for the North approach is the key foundation upon which TfN's ability to influence government is built, and a central organisational objective. Activities include:

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	Through the Member Working Group, develop the Northern Transport Charter that sets out the aspirations of TfN's members regarding the development of the organisation, Use this work as the basis for the Spending Review submission at the appropriate time.	Medium	Dependency Mitigations (Controllable)
2	Continuous engagement with Members and constituent authorities at a political and officer level, stakeholders and partners, to continue to represent the 'one voice'.	Low	Dependency Mitigations (Limited Control)
3	Structured continual engagement with central government officials and decision-makers; and comprehensive communications and engagement programme plans are in place.	Medium	Dependency Mitigations (Controllable)
4	TfN focus on contributing to the recovery phase of the Covid-19 pandemic by using the work done to-date on the Strategic Development Corridors to inform its Economic Recovery Plan.	High	Controllable Mitigations
5	TfN to highlight where necessary the limits of its powers and when directed to seek to extend its influence for greater decision making.	Medium	Dependency Mitigations (Limited Control)
6	TfN's Business Plan and Budget clearly communicate funding restrictions and seeks to maximise the impact of the funding that it receives.	High	Controllable Mitigations

Corporate Risk and Mitigation Owners	Dawn Madin / Iain Craven
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Risk ID: TCR03**Risk Theme: Embedding the Strategic Transport Plan (STP) across Programmes**

Risk Description	The Strategic Transport Plan was adopted by TfN in February 2019. It sets out the “Why, What and How” of TfN’s approach to facilitating inclusive and sustainable transformational economic growth across the North. If TfN programmes (and research) are not aligned with the STP, it would prove difficult to contribute to the delivery of the STP. In addition, it could impact on the development of additional detailed policy positions resulting in sub-optimal outputs from investments when measured against TfN’s overarching objectives.
Risk Proximity	On-going
Risk Probability	Low
Assessed Risk Impact	High
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">• Programmes of work develop in a way that does not contribute to, or runs counter to, the overall objectives and plan set out in the STP, resulting in the failure to achieve the aims of the STP or leads to sub-optimal impacts from transport investments.• It is likely to create a siloed working culture causing business issues.

Mitigation Action Plans and Level of Controllability

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	Co-ordination mechanisms have been established within TfN and with partners (such as the Strategic Oversight Group) to facilitate the co-ordination of programmes of work.	High	Controllable Mitigations
2	The Economic Recovery Plan for a post Covid-19 stimulus package, currently being prepared by TfN, is being developed from the Strategic Development Corridor work that formed a key element of the STP.	High	Controllable Mitigations
3	TfN's Business Plan process for 2020/2021 includes specific activity in relation to the co-ordination of TfN rail activity to assist with alignment of the STP. In addition, a wider planning exercise is also being undertaken across the strategy team to ensure effective monitoring of the delivery of the STP is taking place.	High	Controllable Mitigations
4	TfN is currently developing an assurance framework which will allow the organisation to evaluate and assure programmes and projects consistent with the vision of the STP.	High	Controllable Mitigations
5	A robust benefits realisation framework is being developed to enable the evaluation of programme KPIs and allow the assessment of outcomes in relation to STP objectives.	High	Controllable Mitigations

Corporate Risk and Mitigation Owner	David Hughes
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Risk ID: TCR04**Risk Theme: Delivery of Robust & Compelling Evidence to Support Investment**

Risk Description	<p>Some of TfN’s existing modelling tools capture transformational change, but further improvements are required during 2020/21 to ensure robust evidence of economic transformation can be captured comprehensively throughout the Analytical Framework. The COVID-19 pandemic has affected the availability of key resources and impacted the delivery timescales of the 2020/21 planned improvements. As a result, there is a risk that TfN might be unable to make a timely, robust, credible, evidence-based case to support NPR and the wider Investment Programme. This risk could lead to either delays to the delivery of business cases or transformational benefits being discounted by decision makers due to a reduction in the quality and assurance rating of analysis. This could limit TfN’s ability to deliver agreed outputs outlined in the Strategic Transport Plan (STP).</p>
Risk Proximity	Medium-Term
Risk Probability	High
Assessed Risk Impact	High
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">• An insufficiently compelling evidence base, particularly around the programme level economic case may delay or prevent strategic transport infrastructure investments being made, with consequential impacts on TfN’s ability to deliver its objectives.• The inability to make a transformational case could damage TfN’s reputation with partners as an organisation who’s key objective is to take a leadership role in delivering innovative business cases to secure investments.

Mitigation Action Plans and Level of Controllability

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	An independent review has been commissioned to support TfN in setting priorities for TAME work and make recommendations to improve processes and ways of working.	Medium	Dependency Mitigations (Limited Control)
2	Programme timescales are being adjusted where it is sensible to make those adjustments without significantly impacting delivery against TfN's core objectives.	High	Controllable Mitigations
3	Scope is being managed in consultation with DfT, TfN Partners and Peer Reviewers to ensure essential functionality for robustly representing transformation is prioritised and added value functionality is deprioritised where appropriate. This will ensure that the approach is proportionate for the stage of scheme development.	Medium	Dependency Mitigations (Limited Control)
4	Added value work will be brought into programmes at a later date in the form of sensitivity analysis, ensuring that work undertaken to date can still provide value to TfN programmes.	High	Controllable Mitigations
5	The new TAME team structure and additional senior resources are being introduced with improved engagement with TfN programmes to ensure Analytical Framework development and application activities meet the needs of the programmes.	High	Controllable Mitigations

Corporate Risk and Mitigation Owners	David Hughes and Programme Directors
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Risk ID: TCR05**Risk Theme: Transport Decarbonisation and Climate Change Emergencies**

Risk Description	<p>The UK government has set a climate change ambition that the UK will have net zero greenhouse gas emissions by 2050, this is an ambitious target which moves from the previous government position of 80% reduction. Within the Strategic Transport Plan (STP), TfN has committed to develop a "Pathway 2050" which will outline how net zero emissions can be delivered within the North and the trajectory for change. The impact of the Covid-19 pandemic on the ability to deliver on these imperatives is not currently well understood.</p> <p>In order to deliver on this ambition, TfN needs to collaborate with partners and the government to identify a target and policies to accelerate carbon reductions from the transport sector. There is a risk that TfN falls behind in developing appropriate and timely policy positions to support decarbonisation of transport, and thereby fails to integrate them into its strategic transport development plans. This would potentially result in an investment programme that is misaligned to partner / central government policies.</p>
Risk Proximity	Short-Term
Risk Probability	High
Assessed Risk Impact	High
Potential Impact (Qualitative Description)	<ul style="list-style-type: none"> • There is a risk that TfN falls behind in developing appropriate and timely policy positions to support decarbonisation of transport, and thereby fails to integrate them into its strategic transport development plans. This would potentially result in an investment programme that is misaligned to partner / central government policies. • Failure to develop relevant policy positions adversely impacts on TfN credibility and influence as a Sub-National Transport Body. • In the absence of an agreed policy framework with regard to decarbonisation and sustainability, TfN's programmes may not be adequately addressing decarbonisation and climate change issues. This would adversely impact upon TfN's ability to deliver successful business cases.

Mitigation Action Plans and Level of Controllability

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	To further develop the "Pathway 2050" by outlining specifically how TfN plans to deal with the climate emergencies in the transport field.	High	Controllable Mitigations
2	To recruit a dedicated and senior officer with responsibility for developing environmental policy, and to ensure the integration of this work into the development of TfN's transport strategies.	High	Controllable Mitigations
3	To ensure that the decarbonisation and broader sustainability / environmental policies that are developed by TfN are properly reflected in the Assurance Framework, and therefore appropriately weighted within TfN decision making processes.	High	Controllable Mitigations

Corporate Risk and Mitigation Owners	David Hughes
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Risk ID: TCR06**Risk Theme: Transport for the North's Business Operations**

Risk Description	<p>TfN is fully funded through the Department for Transport (DfT) but it is responsible for its own financial affairs. There is a requirement for the business to demonstrate Value for Money (VfM) to ensure the delivery of programmes are achieved efficiently and effectively. As a result, there is a risk of the failure to deliver programmes' outputs in a way that achieves VfM in TfN expenditure. Additionally, there is a risk that TfN has insufficient funding to support its operation and programmes after the end of 2020/21.</p> <p>In order to deliver the programmes efficiently and effectively, the 2019/20 business plan has outlined its continued ambition to recruit qualified and competent officers to support the success of the organisation's objectives. Therefore, there is a continued risk that TfN fails to attract and retain suitably qualified staff.</p>
Risk Proximity	On-going, but current Core and Programme Funding run out at the end of FY2020/21.
Risk Probability	High
Assessed Risk Impact	High
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">• TfN has insufficient funding from 2021/22 onwards, preventing it from delivering on the aspirations of its members.• Failure to achieve Value for Money could impact on TfN's ability to access funding in the future.• Failure to recruit and retain the right people with the right skills could negatively impact on TfN's ability to deliver its objectives.

Mitigation Action Plans and Level of Controllability

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	To make a clear case for funding during the Spending Review based on the outcome of the Members Working Group activity and the Northern Transport Charter, supporting TfN operations and programmes.	Medium	Dependency Mitigations (Limited Control)
2	Clear and well documented processes and procedures to be in place. VfM and governance to be undertaken by both internal and external audits.	High	Controllable Mitigations
3	Commissioning processes include OBT sign-off of expenditure, and explicit approval for expenditure against a schedule of delegations.	High	Controllable Mitigations
4	Engagement with stakeholders to ensure the case for TfN's funding is supported by members, business and in Parliament.	High	Controllable Mitigations
5	TfN continues to hire suitable qualified officers in all senior positions, but also including critical programme and back office roles. There is on-going training and communication across the organisation.	High	Controllable Mitigations
6	A comprehensive People Strategy has been developed and in place covering reward, workforce/skills planning, succession planning, recruitment and selection, talent and performance management.	High	Controllable Mitigations
7	A leadership programme is planned to be developed and delivered in FY 2020/21 to further support the leadership capability within the organisation.	High	Controllable Mitigations

Corporate Risk and Mitigation Owners	Iain Craven / Dawn Madin
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Risk ID: TCR07**Risk Theme: Compliance with the Relevant Laws and Regulations**

Risk Description	Transport for the North is a statutory body with limited statutory powers and duties. There is a risk that in carrying out its functions TfN fails to be compliant with the relevant laws and regulations.
Risk Proximity	On-going
Risk Probability	Low
Assessed Risk Impact	Financial (High) , Reputation (High)
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">• If TfN fails to adhere to relevant legislation, there could be reputational impacts with both stakeholders and the public which may impact its ability to meet its objectives.• There is a potential financial impact including fines or other penalties for breach of statutory obligations such as Data Protection, Freedom of Information or Health and Safety legislation.• The ICO may issue a decision notice or the HSE may issue an enforcement notice if it found that TfN was in breach of the legislation.• TfN could be subject to substantial financial damages for breach of the Public Contracts Regulations• Important work may be delayed by a failure to comply with necessary obligations such as statutory consultation

Mitigation Action Plans and Level of Controllability

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	TfN has suitably qualified officers in all senior positions, particularly the HoPS, S151 and Monitoring officer. In addition, TfN has employed an in-house legal team.	High	Controllable Mitigations
2	TfN ensures there are clear and well documented processes and procedures in place.	High	Controllable Mitigations
3	Ongoing training on laws and legislations and communication across the organisation.	High	Controllable Mitigations
4	To ensure that there is continuous legal review to TfN's Boards and Committees.	High	Controllable Mitigations
5	TfN employs in house legal and procurement specialists and regularly procures external legal advice on commissioning and procurement.	High	Controllable Mitigations

Corporate Risk and Mitigation Owners	Dawn Madin / Julie Openshaw
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Risk ID: TCR08**Risk Theme: Revised Framework - Delivery of Contactless on Rail and Local Smart Ticketing**

Risk Description	<p>There is a risk that the delay to publishing the Williams Review, and the impact of COVID-19 may result in Phase 3 (Contactless on Rail) being delayed.</p> <p>In addition, there is a risk that TfN's proposals to mitigate the failure of the major bus operators to engage with its ABBOT proposals – namely the proposal to provide support to local schemes - may be unable to secure approval from DfT.</p>
Risk Proximity	Short-Term
Risk Probability	Medium
Assessed Risk Impact	Very High
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">• Failure to roll out Contactless on Rail across the North, or to support local schemes is likely to result in failure to deliver even part of TfN's multi-operator, multi-mode ticketing aspirations and consequential low levels of customer satisfaction.• This may lead to a reputational damage as it is likely that TfN's strategic objectives will not be met.

Mitigation Action Plans and Level of Controllability

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	To ensure there is early engagement with DfT and HMT to agree the role of TfN in bringing Account Based Ticketing forward as a pathfinder and agree funding.	Medium	Dependency Mitigations (Limited Control)
2	To agree with DfT the on-going input of TfN's intellectual capital and learning into the national Contactless on Rail scheme to support value for money and the pace of delivery.	Medium	Dependency Mitigations (Limited Control)
3	To continue the discussions with DfT to understand the options to secure funding. In addition, there is a requirement to agree TfN's funding role, responsibilities and accountabilities with DfT and HMT in order to inform consultations with LTAs in the north.	Medium	Dependency Mitigations (Limited Control)
4	To ensure there is sufficient engagement with the LTAs to agree on the schemes to be put forward to Treasury for funding. This will take place once the initial funding discussions with DfT have started.	High	Controllable Mitigations

Corporate Risk and Mitigation Owners	Jeremy Acklam
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Risk ID: TCR09**Risk Theme: Northern Powerhouse Rail (NPR) Strategic Outline Case Delivery**

Risk Description	<p>Northern Powerhouse Rail is a high-profile programme that involves Northern partners, DfT, NR and HS2. TfN is due to submit a Strategic Outline Business Case (SOC) for NPR, which includes reduced options from that at SOBC, phasing scenarios and a preferred NPR network. To support SOC submission and approval by TfN Board, TfN must secure partner endorsement of a maximum of four (4) phasing scenarios for the SOC, agreement to sifting outputs and collective agreement to a preferred network. If these agreements cannot be reached, it is likely to cause a delay in finalising the SOC and achieving approval at TfN Board.</p> <p>There are three risks and challenges that that might affect the successful delivery of the SOC. These are listed below:</p> <ol style="list-style-type: none"> 1. Infrastructure costs: Costings remain high, and in some instances have increased across the NPR network. There is an on-going and robust challenge process to assure the costs ahead of sifting and decision making. 2. Benefits: There is an emerging risk that the BCRs associated with the transformational programme previously endorsed by members will show a reduction relative to the previous business case, making it more reliant on the quality of the Strategic Case. 3. Partner Engagement: The mitigation of the infrastructure and benefits have resulted to an increased difficulty to achieve a March 2021 SOC submission date. This has led to a reduced period of engagement with partners on emerging evidence, the output of sifting and leading up to TfN Board dates. <p>Although the risks above have been driven by technical development, the coronavirus pandemic has played a significant part in delivery over the last three months, which has resulted in the programme re-phasing SOC delivery in FY 20/21. It is also worth noting the existing issues for Stourton and Piccadilly in relation to making decision making.</p> <p>Finally, there is a risk that the outcome of Integrated Rail Plan (IRP) could impact the SOC as well as the next stage of the NPR programme sequence of delivery and in particular Outline Business Case (OBC). Therefore, uncertainty around IRP outcomes presents a significant risk to the programme. Clarity on the Government's intentions is unlikely prior to the autumn at the earliest. There is currently uncertainty regarding TfN's funding allocation beyond that date.</p>
Risk Proximity	Short to Medium term
Risk Probability	High
Assessed Risk Impact	Very High

Potential Impact (Qualitative Description)	<ul style="list-style-type: none">• Failure to achieve agreed corridor options from the sifting process is likely to result in delays to the SOC beyond the movements in the programme already communicated (i.e. the SOC to be approved in March 2021).• If TfN is unable to submit and receive endorsement for the SOC, it may impact on future funding as Government would not want to approve the SOC without TfN Board endorsement.• The outcome of the IRP may influence the Northern Powerhouse Rail programme, the next sequence of delivery and the OBC.
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Mitigation Action Plans and Level of Controllability

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	The programme team continues to work on the development of the phasing criteria set out in the Management Case. These include the powers, constructability, affordability and benefits realisation.	High	Controllable Mitigations
2	In constructing the roadmap, to include review and input by DfT as co-client, partners and delivery partners.	Medium	Dependency Mitigations (Limited Control)
3	The approach to the Sifting workshops has been developed and discussed with partners. Until sift dates can be confirmed, the NPR Stakeholder Management are keeping Partners up to date, across a number of forums, on key mitigations in place to achieve confirmation of sift dates and provision of emergin evidence.	Medium	Dependency Mitigations (Limited Control)
4	The Co-clients are currently undertaking a review of both NPR benefits and costs to further assure the current BCRs. Assumptions underpinning TfN's rail model are being recalibrated in line with the best available evidence to ensure NPR benefits are being fully and robustly estimated. Cost estimates are being scrutinised to ensure they are accurate and optimised for the requirements of the NPR programme. Whilst these activities are expected to yield an improvement in the BCR, there is residual uncertainty about the scale of the improvement.	Medium	Dependency Mitigations (Limited Control)
5	TfN is working with DfT to ensure the strategic case and wider economic impacts of the scheme are based on robust, compelling analysis, in order to increase the prominence and recognition of these elements of the case relative to the conventional BCR.	Medium	Dependency Mitigations (Limited Control)
6	TfN has set up a working group to develop its response to the Integrated Rail Plan and ensure that that is effectively communicated to members, partners, stakeholders and government, and that interfaces and interdependencies between IRP and NPR (including SOC) are closely managed.	Medium	Dependency Mitigations (Limited Control)

Corporate Risk and Mitigation Owner

Tim Wood (NPR) / David Hughes (IRP)

Risk ID: TCR10**Risk Theme: Rail Operations – Franchise and Delivery**

Description	<p>The impact of the coronavirus pandemic, combined with social distancing guidance and the government’s advice to discourage travel via public transport during lockdown, is likely to lead to future suppressed demand as passenger behaviour moves to private vehicles and active travel. The demand may take many years to recover to previous levels which leads to the following risks:</p> <ul style="list-style-type: none"> (1) There is a risk that the passenger enhancements (such as the completion of new train programmes and additional services) might be delayed as driver training remains suspended and train manufacturers are impacted. (2) There is a risk that future schemes could be less viable as they have to be assessed against lower demand forecasts.
Risk Proximity	Short, Medium and Long-term.
Risk Probability	Very High
Assessed Risk Impact	<p>Very High</p> <p>The post-mitigation risk assessment is rated Very High (VH) following the adoption of the identified mitigations. This is the same rating as the current risk assessment as TfN does not have the full range of levers within its current powers and responsibilities to implement the mitigations i.e. in order to effectively carry out the mitigations. The avoidance and reduction of the assessed impacts are contingent on partners and members taking further actions.</p>
Potential Impact (Qualitative Description)	<ul style="list-style-type: none"> • If there is a delay in investment and delayed rolling stock, passenger frustration will continue to be frustrated and experience poor quality services. Severe adverse reputational impact and pressure from partners. • Less investment in services and infrastructure as a result of weaker business cases. • It could affect TfN’s reputation by impacting on a significant part of its rail transformational programmes and overall agenda.

Mitigation Action Plans and Level of Controllability

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	To continue to use our influence in the monthly Rail North Partnership Board, Rail North Committee and North of England Contingency Group to shape the re-introduction of services, new rolling stock and infrastructure developments and re-build passenger confidence.	Medium	Dependency Mitigations (Limited Control)
2	To continue with the close working relationship and communication with TfN member authorities on deliverables and risks - feeding back information through TfN governance structures.	Medium	Dependency Mitigations (Limited Control)
3	To continue to track train service performance and delivery via regular reporting dashboards.	Medium	Dependency Mitigations (Limited Control)
4	Strategic Rail and Rail North Partnership (RNP) to work together to support Network Rail and Operators in producing recovery plans that meet passengers' needs and rebuild confidence.	Medium	Dependency Mitigations (Limited Control)
5	To implement Blake Jones action plan to provide greater focus on passengers and ensure transparency with members as the COVID19 restrictions ease.	Medium	Dependency Mitigations (Limited Control)

Corporate Risk and Mitigation Owner	David Hoggarth
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Transport for the North Monthly Operating Report June 2020



Contents

Introduction	Page
Summary from the Chief Executive	3
Programme Summary	
Northern Powerhouse Rail (NPR)	4-5
Integrated & Smart Travel (IST)	6-8
Investment Programme	9-10
Major Road Network (MRN)	11-12
Strategic Rail	13-14
Operations Summary	15-18
Financial Performance	
Financial Update	19-20
Activity Dashboard	21
HR Update	22
KPIs (Key Performance Indicators)	23-25

Introduction

Summary from the Chief Executive

TfN continued to work remotely to minimise the risks associated with COVID-19 throughout June, and continues to adhere to Government guidelines. Remote working continues to be productive despite some downsides.

In June, TfN's Strategic Transport Plan (STP) won the Transport Planning accolade at the CIHT Awards. This award recognises the hard work of everyone across the organisation and Partners in developing and delivering the STP.

The Strategy team completed work on the remaining Northern Transport Charter (NTC) proposals, for review at the rescheduled July meeting of the Member Working Group, and progressed the next phase of TfN's work on the Integrated Rail Plan for the North and Midlands – an update on which will be presented to the July Board.

The Strategic Rail team continue their focus on COVID-19 work and recovery planning. There continues to be strong joint working between Transport for the North (TfN), the Department for Transport (DfT), the Rail North Partnership (RNP) and the train companies working through the North of England Contingency Group. The Strategic Rail team's work on investment plans across the North of England also continues.

In the face of many current challenges in the rail industry it was great news to see Horden Station in County Durham re-open after being closed in 1964.

The NPR team continue to progress work on the Strategic Outline Case submission by developing a supporting baseline. Work also continues on modelling and cost challenge for the sift programme, and the Liverpool-Manchester Infrastructure deep dive took place on 17 June.

For the Integrated and Smart Travel (IST) team, work has restarted with on-site civils resuming during June, but discussions continue with Northern and Merseyrail around mitigating the three-month delay caused by COVID-19. The proposal to begin the development of contactless ticketing on rail in the North was presented verbally to IPDC (Investments Projects and Delivery Committee) on 15 June, with the team now awaiting feedback. A Strategic Outline Case (SOC) covering a series of local smart travel projects is also awaiting consideration by the IPDC.

Northern Powerhouse Rail (NPR)

Monthly Summary

NPR have continued to work closely with Delivery Partners and Partners to develop a baseline that supports Strategic Outline Case (SOC) submission in March 2021. Three key areas continue to influence the baselining activity, these being infrastructure costs, modelling and appraisal, and Partner engagement. Management of the three has continued in the period and, although NPR have been able to establish sifting dates across all corridors, they continue to present a risk to achieving the established sift dates. Based on the established sift dates, NPR are recommending that the approval on the preferred network is to be taken to TfN Board in November 2020, with potential phasing scenarios being taken to TfN Board in September 2020 for approval. The ability to make decisions at these points in the programme not only support SOC delivery in March 2021, but also allows TfN the ability to input into the Integrated Rail Plan (IRP).

Activity Update

Technical Assurance, Modelling and Economics (TAME)

The new version of the model produced for the sift programme has been run for several of the corridors. This has produced lower than expected results, in terms of demand, benefits and revenue. Work has continued in the month to understand the reason for the position and to build on the work already completed.

Infrastructure

The Liverpool – Manchester deep dive took place on the 17 June 2020 and potential opportunities to reduce costs were identified by co-clients and Network Rail (NR). Co-Clients, NR and wider supply chain are undertaking a collaborative ‘sprint’ to manage opportunities identified to reduce costs and support Co-Clients in accepting costs to be used at sifting. The approach is resource intensive and work is underway in parallel with NR to ensure similar requirements across other corridors are managed and delivered in time to support the sifting dates.

Business Case

The development of the NPR Strategic Outline Case (SOC) is progressing at pace in support of an SOC submission in March 2021. In the period the SOC team shared a draft version of the Financial case with Partners and an initial discussion took place as part of Working Group on 18 June 2020. The Commercial Case is set to be the next draft shared with working group Partners at the 16 July Working Group. The phasing strategy is progressing well, with the draft iteration 2 report shared with Partners on 12 June.

The Phasing Iteration 2 Pillar report summarises the evidence base against the indicative projects for each pillar. Pillars include; Consents, Expenditure Profile, Supply Chain Capacity, External Dependencies, Customer Disruption, Benefits Realisation.

Risks

Risk/Issue Summary	Summary of Mitigating Measures	KPI
Risk: That the TAME models may not deliver output to support TfN’s SOC objectives.	An integrated activity involving Mott MacDonald, Systra, Atkins/Steer and led by TAME co-client team is underway to enhance	2

Impact: Not enough time to review/challenge/update/assure/accept modelling outputs to support sifting and decision-making on the programme in FY20/21.	model outputs (inc. BCRs) to support sifting and decision making.	
Risk: That infrastructure costs for route/hub options may increase through Sequence 4 development. Impact: Increased costs may result in reduced BCR values when those presented for the same options at SOBC, and negatively impact the ability to make a positive case for options/networks.	A series of deep dives across all corridors have been established. Intensive collaborative sprints involving co-clients and NR are in place to exploit opportunities to reduce costs and support acceptance by co-clients ahead of sifting and SOC decision-making.	2
Risk: TfN, including the NPR programme, has no direct involvement in the Integrated Rail Plan (IRP). Impact: The outcome of the IRP could impact the SOC as well as the next stage of the NPR programme sequence of delivery and in particular Outline Business Case (OBC).	TfN has set up a working group to develop its response to the Integrated Rail Plan and ensure that it is effectively communicated to members, Partners, stakeholders and Government, and that interfaces and interdependencies between IRP and NPR (including SOC) are closely managed.	2
Risk: There may be a lack of understanding and buy-in by Partners of emerging and/or final information to support sifting and decision-making for SOC. Impact: Not enough time for Partners to fully review emerging final information and endorse, resulting in challenge to SOC submission timescales and NPR not being able to go to scheduled TfN Boards in FY20/21 for key SOC decision-making.	Bespoke briefing documents per corridor developed to outline key dates, providing timescales for Partners to brief internally and to formulate views from Partner organisations prior to attending sift. Pre and post sift engagement with Partner organisations at a member level, involving NPR working group throughout the sifting process. NPR has extended the Stakeholder Management capacity within the NPR PMO to support Partner engagement.	2

Programme and look ahead

Sifting schedule

Sift date	Corridor
22 Sep 20	Liverpool - Manchester
28 Sep 20	Leeds - Hull, Sheffield - Hull (inc Sheffield hub)
30 Sep 20	Manchester - Sheffield (Route)
05 Oct 20	Manchester - Leeds (inc Leeds hub)
09 Oct 20	Leeds - Newcastle

Decision schedule

TfN Board	Recommendations
29 Jul 20	SOC update.
17 Sep 20	Approve phasing strategy, provide an update on sifting progress, note SOC first partial draft.
18 Nov 20	Approval of NPR preferred network and corridors with strategic alternatives, note SOC second partial draft.
14 Jan 21	Note SOC Near Final Draft. Advise on any essential changes to support approval (phasing/network).
10 Mar 21	Agree SOC, submission of SOC to Government, Statutory Advice, comms strategy and handling.

Integrated and Smart Travel (IST)

Monthly Summary

The Disruption Messaging (DMT) and Open Data Hub (ODH) tools continue to gain momentum with Local Transport Authorities (LTAs) with Nexus now being the fourth large LTA to adopt and start posting disruption messages. The Fares Data Build Tool is making good progress and aligning development with emerging DfT requirements, to support the eventual novation to them. Northern have readied to start a passenger pilot for flexi seasons subject to DfT approval. On-site civils work for platform validators, halted by COVID has resumed.

A Strategic Outline Case (SOC) for a series of local smart travel projects still awaits consideration by Investments, Programmes and Delivery Committee (IPDC) as full agenda meant it was not discussed as scheduled on 29 June. Our proposal to begin the development of contactless ticketing on rail in the North ahead of the Williams Review was presented verbally to IPDC on 15 June and we are awaiting feedback.

Activity Update

Phase 1: (Smartcards on Rail): Northern completed the live testing of flexi-seasons and are ready to launch flexi-seasons for passengers travelling between Leeds and Harrogate stations, but await DfT's go-ahead. On site PVal civils work recommenced in June at Northern and Merseyrail stations, following a three-month delay because of COVID-19. Although there has been no additional delay, we are discussing mitigating the proposed schedule slippage presented in revised civils plans with Northern and Merseyrail and their contractors.

Phase 2: (Public Transport Open Data): In June Nexus became the fourth LTA using the Disruption Messaging Tool (DMT), joining Merseytravel who have stepped up their use over the month, West Yorkshire Combined Authority (WYCA) and Transport for Greater Manchester (TfGM). LTA requested enhancements providing social media messaging capability went 'live'. The Open Data Hub (ODH) has completed testing in a live environment and has now passed into live service. In relation to the Fares Tool, the 'sprint' to develop authentication (logging on) functionality and implementation is now complete. The team has been strengthened by new members who will support further development of the tool. DfT are now supporting the team with recruiting operators to test the tool and the project has aligned development more closely with DfT requirements, to support them taking on ownership of the tool at the end of the year.

Phase 3: (Contactless on Rail): A paper setting out the North's proposal to accelerate the national rollout of contactless on rail was submitted by TfN for consideration at Investment Projects and Delivery Committee on 15 June. Our DfT sponsor team presented the case. We continue to seek feedback from the committee. In support of this proposal TfN sent a letter to the Rail Minister seeking to include contactless on rail as part of the economic recovery plan.

Phase 4: (Local Smart Schemes): In June, DfT’s Centres of Excellence completed its assessment of the SOC, awarding it medium priority. It was then submitted for consideration by the Investment Committee on 29 June. Unfortunately, this has been delayed and we will be working with Partners to secure a positive decision.

Risks		
Risk/Issue Summary	Summary of Mitigating Measures	KPI
Phase 1 – Risk: Going forward if the three-month delay to civils work (caused by COVID-19) cannot be caught up; if there are further delays because of social distancing and travel restrictions and to the readiness of PVal heads, this is likely to stall the installation and commissioning of PVals, and subsequently the completion of the full rollout of flexi-seasons.	1. TfN continues to engage with Train Operating Companies to support mitigations to delays. TfN to keep aligned with DfT to understand and influence decisions about the introduction of flexi-seasons and ensure ‘go live’ readiness.	3
Phase 2 – Risk: The delay in agreeing acceptance criteria with the DfT could affect the handover of the Fares Data Built Tool to them with consequential time and cost impact on TfN.	1. To agree with DfT: the acceptance criteria; gain GDS approvals; the handover process; and timeline to ensure that we remain within time and budget.	4
Phase 3 – Risk: The DfT’s rollout plan for contactless on rail may not align with IST proposals and as a result, contactless ticketing may not be rolled out in the North as an early part of a national programme as agreed at TfN Board.	1. TfN proposal for a way forward for Contactless on Rail in the North was considered at DfT investment committee on 15 June, but we have had no readout of the meeting. We will press for a readout. Going forward we will continue to collaborate with TOCs and RDG. and lobby DfT officials to bring forward contactless on rail for the North.	5
Phase 4 – Risk: There is a risk that the funding for the Phase 4 proposal may not be secured because it is not approved by DfT’s investment committee. This funding is required to continue the IST programme after the end of March 2021.	1. The Strategic Outline Case was scheduled to be discussed at the Investment Committee on the 29 June. This was not discussed. We will work with Partners and lobby DfT for a positive decision. 2. The forecast spend has been reduced and reprofiled to support slowed project activity until to the end of December 2021 (based on the assumption that future funding will be known by this date).	

Programme and look ahead

Phase 1

- Continuation by Merseyrail and Northern of PVal installation civils work in readiness for the heads (the device which validates tickets) to be fitted in August and September
- Progress the nine (16%) outstanding Northern landlord and listed building consents for phase 1 of station PVal installations

- Continued back office, infrastructure and PVal testing by Northern and Merseyrail

Phase 2

- Agree with LTAs the final enhancements to the DMT to be progressed which will satisfy the Acceptance Criteria and on the basis of this contract with the developer to bring these forward
- Agree the Acceptance Criteria for the Fares Data Build Tool with DfT

Phase 3

- Continue to engage with Train Operating Companies, Rail Delivery Group and LTAs – introductory meeting with new Programme Director

Phase 4

- Continue to engage with LTAs to understand further their ambitions

Investment Programme

Formerly Strategic Development Corridors (SDCs)

Monthly Summary

This month’s work has focused on reviewing the proposed schemes to be included in an Economic Recovery Plan and continuing to mitigate risks to the Investment Programme Benefit Analysis workstream.

Activity Update

During this month TfN has:

- Presented the Investment Programme ‘sequencing report’ and Future Travel Scenarios to Partners at the Strategic Oversight Group (SOG) and to TfN Board on 11 June 2020. These reports detail how we developed three sequencing options for the Investment Programme, and a framework to ensure investments are robust, resilient and agile to future change uncertainties.
- The Investment Programme Benefits Analysis (IPBA) work has been postponed due to available capacity in the Modelling team and other pressing priorities, namely the NPR Strategic Outline Case, COVID19 response and Decarbonisation. This work is now programmed to begin in April 2021.
- TfN’s response to the Government call for evidence on Future Transport was endorsed at June’s Executive Board and submitted to Government on 2 July 2020. This is focused on enabling the UK’s transport system to support delivery of climate change targets.
- Presented the draft programme for the Economic Recovery Plan to the Strategic Oversight Group. The outputs of the Strategic Development Corridors, Investment Programme sequencing update, Long Term Rail Strategy, NPR business case and the Major Roads Report are being used as an evidence base for this work. The final version will be presented to TfN Board, 29 July 2020.

Risks

Risk/Issue Summary	Summary of Mitigating Measures	KPI
<p>Innovative Modelling – Risk: The IPBA project has been delayed until 2021 however, it still relies on a set of innovative models to provide evidence for the North’s business case, which require thorough testing and assurance. If the models are not ready on time, there is a risk that we might not meet the Business Plan commitments and the sequencing outputs may have low assurance.</p>	<ol style="list-style-type: none"> 1. To include a four-week familiarisation period in the programme so consultants will have time to try out the new models. 2. The modelling team to continue to provide monthly high-level updates on the progress of model development. 3. Review timescales and the programme, on a monthly basis, thus allowing more time for the models to be sufficiently tested on NPR and thereby provide consistency and integration between the NPR and the business case for the North. 	10

<p>Partners endorsement of Economic Recovery Plan - Risk: There is a risk that the Partners may have conflicting views on the interventions submitted as part of the Economic Recovery Plan. If funded, these schemes could be advanced earlier than currently planned.</p>	<ol style="list-style-type: none"> 1. Use the agreed sifting tool to assess all proformas. 2. Continue holding one-to-one meetings with Partners to check and challenge their proformas. 3. Review feedback from members of the Strategic Oversight Group. 	<p>6</p>
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Programme and look ahead

- The team will finalise TfN’s Economic Recovery Plan, which will be presented to TfN Board, 29 July 2020.
- The team submitted TfN’s response to the consultation on Future Transport on 2 July 2020.

Major Road Network (MRN)

Monthly Summary

TfN continues to work with its Partners to monitor the progress of the Major Road Network and Large Local Major interventions. We are also working closely with Highways England to have a greater engagement and collaboration in the development of Road Investment Strategy 3.

We have asked Highways England and local Partners to provide evidence of the impact of COVID-19 on travel behaviours and patterns, as well as impacts on air quality. A summary of this research has been presented to the Strategic Oversight Group (SOG).

Activity Update

- Members of the Major Roads Group are working with TfN to collate a long list of potential interventions for accelerated development via the Economic Recovery Plan. For more information on the Economic Recovery Plan, please see the SDC update.
- TfN has closed out the commission for anonymised mobile device data for the Major Road Network. This data provides TfN and its Partners with specific travel data for sections of the MRN, including journey time, reliability, average length of overall journey and evidence on origin and destination of trips. This data was presented to TfN’s Analytical Assurance Group 25 June 2020 and access will be shared with Partners for use in TfN related projects in July.
- TfN and Partners are working with Highways England on a new strategic study, the South Manchester Highway Transport Study, including the M56 in the vicinity of Manchester Airport; Highways England are currently reviewing TfN’s feedback on the project scope.
- Construction on the A585 Windy Harbour to Skippool scheme, which is part of Highways England’s Road Investment Strategy, has started.

Risks

Risk/Issue Summary	Summary of Mitigating Measures	KPI
<p>Negative Perceptions - Risk: Due to the environmental and sustainable impacts of traffic and congestion, road schemes may not get the investment needed to deliver the Strategic Transport Plan.</p>	<ol style="list-style-type: none"> 1. To hold a team workshop in July to review road investment and sustainability, including the road network and multimodal integration. 2. Continue to monitor the change in travel behaviours, patterns and air quality following COVID-19. 3. To present the importance of roads and TfN talks, webinars and podcasts. 4. Updating the Major Roads webpage to demonstrate the importance of investment in roads for all road users. 	<p>6</p>

Programme and look ahead

- Highways England (HE) will be publishing their response to the Road Investment Strategy (RIS) 2020-25 this Summer. This will detail how HE will achieve the RIS objectives.

Strategic Rail

Monthly Summary

The operational focus remains on supporting COVID-19 related work and recovery planning. There continues to be strong joint working between Transport for the North (TfN), the Department for Transport (DfT), the Rail North Partnership (RNP) and the train companies working through the North of England Contingency Group. The latest planned timetable uplifts were implemented on 6 July 2020. Both TransPennine Express (TPE) and Northern have responded with a plan that maximises commuting opportunities for passengers whilst maintaining appropriate protections, including social distancing for staff.

The other main areas of work have been continuing to input to the work of the Manchester Recovery Task Force as well as developing the rail elements of TfN's Economic Recovery Plan.

Activity Update

TfN continues to work closely with the DfT and Network Rail on investment plans across the North of England including schemes to address congestion hotspots in Central Manchester (including through the Manchester Recovery Task Force) and at Leeds. TfN has submitted a comprehensive list of enhancements in and around Manchester on which it would wish development work to be undertaken in order to properly inform decisions about what enhancements should be taken forward. £10m was allocated in the Government announcement on 30 June 2020 for further development work in Manchester, which could include some or all of the schemes suggested by TfN.

DfT's Investment, Projects and Delivery Committee (IPDC) has been asked to support a baseline Outline Business Case (OBC) for the TransPennine Route Upgrade (TRU) programme and we understand Ministerial and Treasury approval is being sought to release funding for further design and development work in 2020.

Progress is being made on the implementation of the Blake-Jones Action Plan and a final report is under development for the Rail North Committee in July 2020.

The Northumberland Line Strategic Outline Business Case funding has been approved and the new Horden station became operational on 29 June.

Network Rail has been engaged to undertake Theoretical Line Speed analysis on six routes. The output of revised line speed profiles on each route is expected in August.

The team has continued to contribute to the work on the Integrated Rail Plan and has also been preparing for the Rail North Committee on 14 July.

Risks

Risk/Issue Summary	Summary of Mitigating Measures	KPI
The long-term effect of COVID-19 on viability of franchises - Risk: There is a risk that the demand for rail may take a significant amount of time to recover to pre-COVID-19 levels, impacting on the future of train service investment	<ol style="list-style-type: none"> 1. Proposing an ambitious programme of work as part of the Economic Recovery Plan. 2. TfN is working with the industry to try to influence future investment decisions. 3. Re-instatement of services are introduced slowly to maintain good performance and 	9

decisions which might affect TfN's ability to achieve its ambition for the North of England.	make rail an attractive choice when safe to do so.	
DfT Reprioritisation and the Williams Review - Risk: The coronavirus pandemic has meant DfT has had to prioritise their focus and resources in responding to the pandemic. This has led to the delay in the publication of Williams Review. Government may choose to focus on centrally deliverable initiatives such as franchise delivery, and focus less on devolution. As a result, this may not align with the strategy of Members and would require a wider response from TfN.	<ol style="list-style-type: none"> 1. TfN will continue to make the case for reform that supports the North's ambitions and will respond to the Williams White Paper once published. A paper on this, including immediate actions such as a letter to the Secretary of State, has been prepared for the Rail North Committee on 14 July. 2. To mitigate the risk further TfN has allocated some resource in Quarter 2 to respond to any Williams and related policy proposals. 	9
TfN TransPennine Route Upgrade (TRU) Statutory Advice - Risk: There is a risk that the next phase of Network Rail's development and design work is unable to support TfN's aspirations for the North TransPennine rail corridor as identified in our statutory advice issued in September 2018. This will inhibit the ability of TRU to form part of a broader, coherent rail investment strategy for the North as identified in statutory advice issued in January 2020.	<ol style="list-style-type: none"> 1. The Strategic Rail team and RNP continue to work together to support Network Rail in producing an investment plan that meets passengers' needs and expectations through delivery in full of the outcomes set out in the TRU remit. 2. TfN continues to stress to DfT and Network Rail the importance of delivering W10/12-gauge clearance to support container traffic across the Pennines and help increase the number of freight paths. 3. Through the Manchester Recovery Task Force and directly with DfT, TfN continues to press the case for adequate investment in Manchester. 4. TfN continues to stress to DfT the importance of developing a parallel option to the Outline Business Case which better serves the North. 	

Programme and look ahead

- Support, monitor and help shape the industry recovery from COVID-19 including re-building passenger confidence.
- Working through the Rail North Committee and Board, respond to industry proposal for mitigating cross-Manchester performance issues.
- Continue preparations for the Williams Review White Paper publication (or related proposals) and link this to the implementation of the Blake-Jones Action Plan. Report to the Rail North Committee in July.
- Respond to Northern's 100-day plan commencing with a discussion at the Rail North Committee in July.

Operations Summary

Monthly Introduction

Operational focus for May has included: work in relation to the Economic Recovery Plan; the commencement of an external audit within Finance & Procurement; continuing the use of virtual public meetings while some COVID-19 travel restrictions were still in place; completion of work on the remaining Northern Transport Charter proposals; modelling work including that required for the NPR corridor sift; and the ongoing development of TfN's suite of analytical models.

TfN also celebrated winning a CIHT (Chartered Institute of Highways and Transportation) award during this period for the Strategic Transport Plan (STP).

Activity Update

Summary updates on key actions from TfN operational teams are as follows:

Stakeholder Engagement & Communications

- The Stakeholder Engagement and Communications Team has continued to support national messaging regarding use of public transport and updated Government guidance, this included sharing Government and Partner messaging across channels, as well as welcoming the use of face coverings across the network in a post-Board press notice regarding strategic rail.
- Since the last report, TfNTalks - a summer webinar series - has been launched, with the first two episodes focusing on strategic rail and roads having taken place with panellists including TfN Board Members and wider key stakeholders. The next session will focus on Northern growth and the 'build back better' initiatives.
- In addition, the team has also been proactive in outlining priorities for recovery, including publication of the initial letter to the Secretary of State regarding the Economic Recovery Plan, to be followed by further work ahead of the 29 July Board meeting, which was profiled across TfN channels and in the media.
- Other activities include partaking in media opportunities with Highways England in relation to starting work on the A63 and consultation on Simister Island in Greater Manchester, as well as reacting to the Prime Minister's 'Build, Build, Build' speech, which included references to road and rail investment and Northern Powerhouse Rail. Further discussions have taken place regarding a Communications Memorandum of Understanding (MOU) between TfN and DfT, to seek clarity on its implementation and interpretations, a requirement of the ongoing discussions relating to the Grant Funding Agreement.

- The team has also been working with Northern Powerhouse Rail on the timing of proposed engagement periods with Partners in support of revised timescales for the project sifting and Board decisions, including a review and input in into risks surrounding the sift process and time available for member engagement.
- TfN has also published content throughout June to celebrate Pride month and diversity awards and accreditations.
- The team continued to work with communication leads from partner organisations to share joint messaging and, where appropriate, amplify member views.
- The team has also given early consideration to communications activity to support the Northern Transport Charter, ahead of discussion and guidance at the next meeting of the Member Working Group chaired by Cllr Judith Blake.

Finance & Procurement

- External audit commenced and scheduled to be completed in advance of TfN Board meeting on 29 July 2020.
- Budget revision 1, capturing the implications of COVID-19 on programme and operational matters, is currently being finalised.
- The drafting of a revised Grant Funding Agreement for NPR has been finalised, with a similar template to be adopted for IST. Core Funding Agreement subject to ongoing discussion with DfT.
- Benefits Management System is currently being implemented.
- Risk Management Software currently under review.
- The Procurement team continues to manage a higher level of commissioning activity versus the Pipeline Activity, particularly for the NPR programme.

Legal & Democratic

- Several virtual public meetings have successfully been held, and it is expected that this will continue for the immediate future until some meetings can again be held in person. Current regulations allowing virtual meetings expire in May 2021 and the position is being monitored.
- The modern.gov software system (to streamline our governance and meeting management arrangements and which is used by a number of constituent authorities) has been installed and training completed. Officers are testing the system, and a pilot rollout of an internal meeting is being arranged, followed by a public meeting later in the year. Further details and expected dates will be shared with system users closer to roll out.
- The Legal Team is supporting Procurement in a high level of commissioning activity from all departments.
- The Legal Team is also supporting Finance in the finalisation of the NPR, IST and Core Grant Funding Agreements.

Strategy, Policy, Economics & Research

- The Strategic Transport Plan has won the 2020 CIHT Transport Planning Award. Further work is underway to enhance and strengthen the STP in a range of areas, including freight, decarbonisation and active travel.
- The team completed work on the remaining Northern Transport Charter (NTC) proposals to be discussed at the rescheduled meeting of the Members Working Group. We are continuing to work closely with other TfN teams to ensure that work on the Economic Recovery Plan and Integrated Rail Plan are informed by the long-term approach of the NTC.
- The next phase of TfN's work on the Integrated Rail Plan for the North and Midlands has been completed and the Board will receive an update in July followed by more detailed proposals in September and October.
- Work on TfN's decarbonisation strategy continues with a strong focus on modelling pathway scenarios. Our work on this is closely linked to the scenarios being developed by TAME and the Major Roads Team, as well as developing a clear view of post-crisis travel scenarios during the recovery.
- The research team has been supporting the Economic Recovery Plan work with economic analysis whilst completing a number of ongoing research projects and are preparing to submit proposals to the HMT on Green Book reform.

TAME (Technical Assurance, Modelling & Economics)

- The Arup review of TAME team operations and on required skills and experience for the new Head of TAME has now concluded. In advance of recruiting a new Head of TAME, the team will start implementation of Arup's recommendations, including improvements to communication of TAME's work, resource planning and programme reporting. Progress in these areas has been enabled by the appointment of consultants into a number of senior vacant roles in the team, in particular the new Team Coordinator who will lead this work jointly with the Analysis Manager and the Assurance Manager.
- Work on the NPR corridor sift has been progressing using a new version of the Northern Rail Modelling System (NoRMS), designed to address technical recommendations from peer reviewers. However, initial tests have suggested that the new model is not fully representing the benefits of NPR as expected. Given that further work is needed to address these concerns, alongside further work to scrutinise NPR cost estimates, a decision has been made to delay sift. TAME have worked closely with NPR PMO to update the workplan for model enhancements, sift and SOC. A period of assurance of the enhanced model is being prioritised to ensure that the changes have had the desired effect and that the current high level of DfT confidence in the model can be maintained.
- Following consultation between TAME and the Major Roads team, it has been agreed that delivery of Modelling and Appraisal to support IPBA will have its start date delayed from November 2020, when it would have coincided with peak activity to finalise the NPR SOC, to April 2021. This will help to de-risk the NPR SOC programme and enable delivery of higher quality outputs. Opportunities to improve preparedness for IPBA (Investment Programme Benefits Analysis) have also been identified,

putting TAME in a stronger position to start the work in 2021 than would have been the case in 2020.

- Work to finalise representation of Future Travel Scenarios and Decarbonisation Pathways in Analytical Framework models is progressing towards the planned publication of the work in October. TAME is working with DfT, Partners and other stakeholders to ensure the impacts of COVID-19 are appropriately captured in the scenarios and in the wider TfN work programme.
- Further development of NoRMS and the Northern Economy and Land-Use Model (NELUM) continues in the background and is now planned for completion by September so that final versions of the tools can feed into the NPR SOC. Development of TfN's Northern Highway Assignment Model (NoHAM) is progressing well and has been successfully integrated with internal TAME work to develop a new travel demand matrix. Meanwhile the refreshed 2018 base-year of the Great Britain Freight Model (GBFM) is near finalisation and procurement of freight modelling enhancements required for NPR and IPBA is underway.

Financial Performance

Financial Update

Summary

Expenditure incurred in June: £4.09m

Variance to June monthly budget: Underspend of £1.25m

Year to-date expenditure: £12.33m

Year to-date variance to budget: Underspend of £2.17m

Headlines

- TfN's financial position for Period 3 continues to show a number of underspends largely reflecting COVID-19 related issues.
- Budget Revision 1 is currently being finalised and will be submitted to TFN Board for approval on 29 July 2020.

Programmes:

- Expenditure of £3.51m representing an underspend of £0.80m (28%) in the month.
- Underspend continues to be driven by the impact of Covid-19 on the Integrated and Smart Travel programme.

Integrated & Smart Travel:

- Programme-wide expenditure of £0.57m representing an underspend of £0.47m (45%) in the month.

Phase 1

- Expenditure of £0.24m representing an underspend of £0.27m (54%) in the month.
- The main variance to budget continues to reflect the impact of COVID-19 on Phase 1 implementation and in particular Platform Validator installation. Civils work has now recommenced and full installation is forecast to complete by December.

Phase 2/3/4 and Programme Team

- Expenditure of £0.33m representing an underspend of £0.21m (40%) in the month.
- This largely reflects lower than forecast external support costs.
- Activity on Phase 4 remains low pending IPDC review / approval of the Strategic Outline Case.

Northern Powerhouse Rail

- Expenditure of £2.90m representing an underspend of £0.27m (9%) in the month. YTD expenditure of £8.74m is on budget.

- Across Network Rail expenditure is to budget in the month. On a YTD basis spend remains ahead of budget, reflective of recent forecasts.
- Underspend on modelling work of £150k in the month due to delays to contracting new activity, notably around freight.
- Vacancies within the TAME structure continued to drive underspends in the recharged staff budget, £98k in the month. The use of contractors to fill the remaining positions from July will see expenditure accelerate in the next quarter.

Investment Programme

- Relatively low expenditure of £0.05m, representing an underspend of £0.05m (56%) in the month.
- The deferral of the Investment Programme Benefits Analysis (IPBA) work will see spend remain low going forward.

Operations:

Rail Operations

- Expenditure of £0.18m representing an underspend of £0.15m (45%) in the month.
- This principally reflects underspend due to staff vacancies and associated onboarding costs. Several budgeted posts for the Blake-Jones implementation remain on hold pending the related funding commitment.

Operational Areas

- Expenditure of £0.40m representing an underspend of £0.30m (43%) in the month.
- Underspend in Business Capabilities of £150k as a result of COVID-19 with the deferral of activity (including the TfN conference) and significantly reduced facilities expenditure.
- There was also an underspend in Core funded modelling activity of £115k due to vacancies and delays to forecast data purchases.

Activity Dashboard

TRANSPORT FOR THE NORTH FINANCE DASHBOARD					PERIOD BUDGET CYCLE	3 FISCAL	JUNE 2020/21	
PERIOD ACTUALS VERSUS BUDGET								
	Actuals £m	Budget £m	Var. £m	Var. %				
Integrated and Smart Ticketing	£0.57	£1.04	£0.47	46%				
Northern Powerhouse Rail	£2.90	£3.18	£0.27	9%				
Major Roads	£0.05	£0.09	£0.05	52%				
Programmes	£3.51	£4.31	£0.80	18%				
Rail Operations	£0.18	£0.33	£0.15	46%				
Operational Areas	£0.40	£0.70	£0.30	43%				
	£4.09	£5.34	£1.25	23%				
PERIOD ACTUALS VERSUS BUDGET: PROGRAMMES								
	Actuals £m	Budget £m	Var. £m	Var. %				
IST: Phase 1	£0.24	£0.50	£0.27	53%				
IST: Phase 2	£0.18	£0.22	£0.04	17%				
IST: Phase 3	£0.02	£0.06	£0.04	68%				
IST: Phase 4	£0.01	£0.10	£0.09	93%				
IST: Programme	£0.12	£0.16	£0.04	25%				
Northern Powerhouse Rail	£2.90	£3.18	£0.27	9%				
Major Roads	£0.05	£0.09	£0.05	52%				
	£3.51	£4.31	£0.80	18%				
YEAR TO-DATE ACTUALS VERSUS BUDGET								
	Actuals £m	Budget £m	Var. £m	Var. %				
Integrated and Smart Ticketing	£1.70	£3.16	£1.46	46%				
Northern Powerhouse Rail	£8.74	£8.76	£0.02	0%				
Major Roads	£0.16	£0.19	£0.03	15%				
Programmes	£10.60	£12.10	£1.51	12%				
Rail Operations	£0.53	£0.84	£0.30	36%				
Operational Areas	£1.21	£1.56	£0.35	23%				
	£12.33	£14.50	£2.17	15%				
YEAR TO-DATE ACTUALS VERSUS FORECAST TO OUTTURN								
	Actuals £m	F/cast £m	Var. £m	Var. %				
Integrated and Smart Ticketing	£1.70	£9.69	£7.99	82%				
Northern Powerhouse Rail	£8.74	£43.78	£35.04	80%				
Major Roads	£0.16	£1.88	£1.72	91%				
Programmes	£10.60	£55.35	£44.75	81%				
Rail Operations	£0.53	£2.98	£2.44	82%				
Operational Areas	£1.21	£7.46	£6.26	84%				
	£12.33	£65.78	£53.45	81%				
FUNDING YEAR TO DATE					FUNDING FORECASTS TO OUTTURN			
Funding Stream	Actuals £m	Budget £m	Var. £m	Var. %	Actuals £m	F/cast £m	Var. £m	Var. %
TDF - Rail	£8.50	£8.52	£0.02	0%	£8.50	£42.82	£34.32	80%
IST - Capital and Revenue	£1.70	£3.16	£1.46	46%	£1.70	£9.69	£7.99	82%
Core Grant	£1.75	£2.26	£0.51	22%	£1.75	£11.39	£9.64	85%
Rail North Grant & Contributions	£0.33	£0.47	£0.14	30%	£0.33	£1.53	£1.20	79%
TDF - Roads	£0.00	£0.00	£0.00	-	£0.00	£0.00	£0.00	-
Trading Income	£0.06	£0.10	£0.04	37%	£0.06	£0.36	£0.30	83%
	£12.33	£14.50	£2.17	15%	£12.33	£65.78	£53.45	81%

HR Update

Human Resources Update

Salaried Establishment as at **7 July 2020**

Established/ Transition Posts

Area	Established Posts (Over 2 years)	Transition Posts (Up to 2 Years)	Total
CEO/Chair	2 (1.17 FTE)	-	2 (1.17 FTE)
Support Services	30 (29.32 FTE)	6 (6.00 FTE)	36 (35.32 FTE)
Operational & Delivery	94 (92.98 FTE)	41 (40.50 FTE)	136 (133.48 FTE)
Total Establishment	126 (123.47 FTE)	47 (46.50 FTE)	173 (169.97 FTE)
Strength (in post)	110 (108.15 FTE)	32 (31.50 FTE)	142 (139.65 FTE)
Appointed (start date pending)	2 (2.00 FTE)	2 (2.00 FTE)	4 (4.00 FTE)
Active/Pending Recruitment	6 (6.00 FTE)	1 (1.00 FTE)	7 (7.00 FTE)
Vacant – On-hold	8 (7.32 FTE)	12 (12.00 FTE)	20 (19.32 FTE)

Agency Resource - Covering Vacant Posts

Area	Posts (FTE's)
Support Services	3 Post (2.12 FTE)
Operational & Delivery	2 Posts (2.00 FTE)
Total	5 Posts (4.12 FTE)

Consultancy Resource - Covering Vacant Posts

Area	Posts (FTE's)
Support Services	0 Post (0.00 FTE)
Operational & Delivery	9 Posts (8.80 FTE)
Total	9 Posts (8.80 FTE)

HR Metrics – 2020/21 Year to Date

Corporate Sickness Level:	3.2%
Employment Policy Application:	0.7%
Employee Turnover (Voluntary Leavers):	2.3%
% of Employees from an Ethnic Minority Background:	15%
% of Employees declaring a Disability:	8%
Gender Mix - % of Female Employees:	32%
% of Male Employees:	68%

KPIs

Key Performance Indicators

Transport for the North's Key Performance Indicators (KPIs) are outlined in the published Business Plan for 2020-21. The below table outlines the programme and organisational KPIs and provides a summary of the year-end position.

Key

Achieved	
On Track	
In Progress	
Delay	
Delay – beyond this year end (BTYE)	

Area	KPI	Detail	Progress	Status
Corporate	1	Agree with Government the phasing and prioritisation of the Integrated Rail Plan for High Speed North. December 2020	On Track	
			TfN response to the NIC submitted 29 May 2020. Second phase of work now underway ahead of September TfN Board. Members will receive an update at July Partnership Board.	
Northern Powerhouse Rail	2	Agree and submit Strategic Outline Case to Government. January 2021	Delay	
			The SOC timeline has been rephased due to the impacts of COVID-19 and was approved at TfN Board on 29 April 2020. The next step is to complete a re-baselining activity of the programme for the SOC submission in March 2021.	
Integrated and Smart Travel	3	Complete the delivery of the Integrated and Smart Travel on Rail Project (Phase 1). November 2020	Delay	
			Northern and Merseyrail plan are signalling delays to completion because of the three-month delay to on site works as a consequence of COVID-19. We are discussing mitigations to align dates to the KPI date.	
Integrated and Smart Travel	4	Complete the delivery of Phase 2 of the Integrated and Smart Travel Programme (informed customers). March 2021	On Track	
			The phase is currently on track to meet the KPI. DMT (Disruption Messaging Tool) and ODH (Open Data Hub) are live and being rolled out to LTAs and developers. Further enhancements to DMT are being delivered during the course of the year. FDBT (Fares Data Build Tool) has completed the first stage of development (alpha) and the prototype is being developed in the second stage (beta private).	
	5		Delay	

Integrated and Smart Travel		Agree a plan for the delivery of contactless payments on rail, in collaboration with the DfT and Rail Delivery Group (Phase 3). December 2020	A paper outlining the North's proposals to accelerate contactless on rail in the North has been presented to the June meeting of DfT's investment committee. We are awaiting feedback.
Major Roads	6	Agree and approve the Transport for the North Major Roads Report. March 2021	On track The technical report has been completed and the Major Roads Report will be updated following the completion of the decarbonisation workstream.
Strategic Rail	7	Implement the recommendations in the Blake-Jones review. June 2020	Delay The Blake-Jones Action Plan was presented and approved at the 12 May 2020 Rail North Committee meeting and progress is being made on the implementation with a final report to be taken to Rail North Committee in July 2020. The slight delay is due to attention focused on responding to the rail operational aspects COVID-19 crisis. A decision on funding future resources is still awaited from DfT.
Strategic Rail	8	Develop a TfN response to the Williams Review. Within three months of publication	On Track A response to the Williams Review will be developed within three months of its publication; the date of which is yet to be announced.
Strategic Rail	9	Support the industry and Rail North Partnership in the response to and recovery from COVID-19, including a strong focus on the needs of passengers and businesses, together with the short-term investment needed to support the recovery. March 2021	In Progress Strategic Rail is proactively supporting the industry through the crisis and recovery, for example through the North of England Contingency Group. A plan to support the economic recovery both by investment in infrastructure and services is being developed.
SDCs	10	Update and refresh the TfN Investment Programme, based on an agreed Assurance Framework and using the outputs of the SDC Qualitative Sequencing process. September 2020	Achieved The update of the Investment Programme following the qualitative sequencing process, and applying the developing Assurance Framework, has been achieved.
Strategy	11	Develop a decarbonisation strategy for approval by the TfN Board and ensure that this is embedded in TfN's	On Track Work continues at pace on TfN's decarbonisation strategy. Work during May has focused on building the evidence through the Future Scenarios and

		Investment Programme Assurance Framework. March 2021	Pathways work to support strategy development.
Strategy	12	Develop an inclusive and sustainable growth framework that will sit alongside the Strategic Transport Plan and ensure that this is embedded in TfN's Investment Programme Assurance Framework. March 2021	<p>Not Started</p> <p>This KPI doesn't start until KPI 16 has been completed, this is because as part of the Northern Transport Charter we are working with Members to identify the principles of an inclusive and sustainable North.</p>
Strategy	13	Develop a freight strategy for approval by the TfN Board and ensure that this is embedded in TfN's Investment Programme Assurance Framework. March 2021	<p>On Track</p> <p>In progress. Additional resources to support the development of the TfN freight strategy are now in place. Work will be managed through the Strategic Oversight Group and progress reported to members later in the year.</p>
Modelling and Analysis	14	Complete and deploy the Analytical Framework throughout TfN's programmes. March 2021	<p>Delay</p> <p>The risk of delay to completion of key elements of the Analytical Framework and their successful deployment in the NPR SOC has been reduced through a reprioritisation of TAME activity, including rescheduling of the IPBA programme. As the Analytical Framework will be deployed in full the NPR SOC, it will have been fully tested and signed-off for application in other TfN programmes in 2021. Monitoring of the programme and residual risk is being improved through implementations of the Arup review led by the TAME Senior Leadership Team.</p>
Organisation	15	Develop and provide a Spending Review Submission to Government. At date set by HMT	<p>On Track</p> <p>The Chancellor has indicated that there will be a Spending Review in the Autumn, although no further detail is currently available. In the meantime, TfN continues to develop the Northern Transport Charter, which will form the basis of its submission.</p>
Organisation	16	Develop and adopt the Northern Transport Charter. June 2020	<p>Delay</p> <p>The team completed work on the remaining Northern Transport Charter (NTC) proposals to be discussed at the rescheduled meeting of the Members Working Group on the 19th July.</p>



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Transport for the North Board

Subject: Transpennine Route Upgrade

Author: James Syson, Rail Strategy Liaison Manager

Sponsor: David Hoggarth, Strategic Rail Director

Meeting Date: Wednesday 29 July 2020

1. Purpose of the Report:

- 1.1 The report provides a short update on the Transpennine Route Upgrade (TRU) project as background for a presentation from the Department for Transport (the client for the scheme) at the meeting.
- 1.2 The Board is asked to note the positive progress made in addressing concerns raised by Transport for the North earlier in the year, the remaining risks and next steps.

2. Executive Summary:

- 2.1 It is anticipated that an announcement will be made this month confirming government funding to be made available to Network Rail to undertake detailed design and further development work for options including full electrification along the North Transpennine rail corridor (an aspiration since 2009) as part of the TRU project.
- 2.2 The announcement looks likely to represent a major positive step forward for the project and reflect key elements of Transport for the North's statutory advice. Nevertheless, there are still some risk areas highlighted in the report that Transport for the North will need to keep under review.

3. Background:

- 3.1 The TRU project is designed to deliver a high performing, reliable railway for passengers with more seats, more trains and faster journeys between Manchester and York via Huddersfield and Leeds. DfT are the client for TRU and the project has had a chequered history in terms of progress and scope – with completion originally planned for 2019. TfN has sought to shape the project using its right to provide statutory advice.

Challenges Raised by Transport for the North

- 3.2 As the scheme developed in 2018 and 2019, Transport for the North had a number of concerns about the likely scope of the scheme and

the extent to which it would deliver against all the original objectives. In January 2020 Transport for the North Board endorsed issuing of a number of challenges to DfT to help shape the ongoing development of TRU, primarily:

- How the full outputs will be delivered including our aspirations for freight, de-carbonisation and accessible stations;
- The need for a coherent investment plan to unlock key performance and congestion issues that will benefit the network across the North; and
- The interfaces between three planned schemes: TRU, NPR and HS2.

Progress Towards Meeting the Challenges

3.3 Subject to a formal announcement by DfT on the next steps, the response has been positive. In particular, it is expected that:

- Electrification of the full route is taken forward to the next stage of development;
- Options for freight capacity and gauge clearance are developed; and
- Proposals for fully accessible stations are also developed.

To this end the anticipated announcement may ultimately (subject to further DfT scrutiny and business case endorsement in Spring 2021) align the project more closely with our TRU statutory advice which has sought delivery in full of the strategic outputs for the project.

3.4 The full expected scope of the scheme is set out in Appendix 1. It is anticipated that the development would be through two parallel workstreams:

- The design and delivery of those elements of the scheme already well-advanced in their development in order to maintain momentum; and
- Parallel development of an enhanced option that would investigate electrification of the corridor in full (Manchester – York), gauge clearance and capacity options for supporting the movement of container freight traffic across the Pennines, modern digital signalling solutions, and investment at all stations to support accessibility and passenger facilities which, if supported by a positive business case, could all be added to the programme next year. This would require a further funding commitment from the DfT.

3.5 Notwithstanding the good progress that has been made, there are still some areas of risk that will need to be kept under review. These include:

- The interaction with NPR and HS2 – this interface largely being taken forward through Transport for the North’s input to the Integrated Rail Plan;
- How the scheme fits with a pipeline of investment for the North including capacity work in and around Manchester;
- The delivery programme and particularly the plan for managing passenger disruption during the construction;
- Ensuring that there are legacy benefits from TRU diversionary routes including the Calder Valley; and
- Transport for the North’s ability to bring local knowledge and input to the delivery of the scheme within the current governance arrangements (DfT is the sole client).

Managing Passenger Disruption

- 3.6 We understand the DfT remains committed to working with industry partners to plan works so they can be undertaken with the optimum balance between disruptive access and maintaining an acceptable service for customers. The Rail North Partnership are leading on co-ordinating operator proposals for passenger handling during the delivery of the project based on work that Transport for the North and the Rail North Partnership undertook on developing a set of ‘access principles’ to shape the strategy.
- 3.7 Transport for the North through the Rail North Partnership will therefore seek to ensure mitigations for disruption are considered at each stage of the project so that the impact on customers, both freight and passenger, can be minimised wherever possible. The Rail North Committee will be used as the governance mechanism to report updates and seek input from elected members. Risk assessments for the project will continue to be undertaken by Network Rail on behalf of the DfT, who act as sole client.

Next Steps

- 3.8 Whilst the programme for delivery is being refreshed, a start on site for some of the major interventions was possible in 2021. Timing of completion will depend on the final scope. Transport for the North will be keen to ensure any revision to the project timeline can facilitate a coherent rolling programme of investment across the North.
- 3.9 To ensure the project can maximise freight benefits and ensure the highest possible performance a number of additional complementary investment proposals are being sought through Transport for the North’s Economic Recovery Plan.

4. Conclusion:

- 4.1 Pressing ahead with the delivery of TRU is a key priority for the North - it is an essential precursor to NPR. Investment along the North Transpennine rail corridor will start to provide urgently needed capacity

and reliability. It will also release capacity for future enhancements to local connectivity and freight services – something which is being captured in Transport for the North’s work on developing an Integrated Rail Plan for the North.

- 4.2 It is hoped that new governance and closer collaboration with industry, including rail operators, will inject real pace into this programme of work which is already well overdue. Transport for the North is therefore ready to support the DfT and Network Rail progress further development options and help make the case for an investment proposal more aligned to the Transport for the North’s statutory advice issued in 2018.

5. Recommendation:

- 5.1 It is recommended that the Board note the report and further detail provided in the appendix document as background to a presentation to be provided by DfT.

6. Appendices:

- 6.1 Appendix 1 – Further detail on anticipated programme of work

List of Background Documents:

Transport for the North Partnership Board – January 2020 Agenda Item 13

Subject: TransPennine Route Upgrade

Author: James Syson, Rail Strategy Liaison Manager

Sponsor: David Hoggarth, Strategic Rail Director

Transport for the North Partnership Board - September 2019 Agenda Item 4.3

Subject: TransPennine Route Upgrade

Author: Jim Bamford, Head of Investment Planning & James Syson, Rail Strategy Liaison Manager

Sponsor: David Hoggarth, Strategic Rail Director

Transport for the North Partnership Board – 20 June 2019 Agenda Item 9

Subject: Rail Update

Author: James Syson / David Hoggarth

Sponsor: David Hoggarth, Strategic Rail Director

Transport for the North Partnership Board – 7 February 2019 Agenda Item 5

Subject: TransPennine Route Upgrade

Author: Jim Bamford, Head of Investment Planning & James Syson, Rail Strategy Liaison Manager.

Sponsor: David Hoggarth, Strategic Rail Director

Transport for the North Partnership Board – 13 September 2018 Agenda Item 4

Subject: TransPennine Route Upgrade

Author: Jim Bamford, Head of Investment Planning & James Syson, Rail Strategy Liaison Manager.

Sponsor: David Hoggarth, Strategic Rail Director

Required Considerations
Equalities:

Age		No
Disability		No
Gender Reassignment		No
Pregnancy and Maternity		No
Race		No
Religion or Belief		No
Sex		No
Sexual Orientation		No

Consideration	Comment	Responsible Officer	Director
Equalities	A full impact assessment will be developed by the DfT – and we welcome the further development work to assess access	James Syson	David Hoggarth

	for all opportunities at each station along the corridor as this will support our statutory advice for Equality Act 2010 compliance at each station.		
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Environment and Sustainability

	No
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Consideration	Comment	Responsible Officer	Director
Sustainability / Environment – including considerations regarding Active Travel and Wellbeing	A full impact assessment has not been carried out because this will be developed by the DfT as part of their business case development including an assessment of the likely benefit to air quality at stations and along the TRU corridor.	James Syson	David Hoggarth

Legal

Yes	
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Consideration	Comment	Responsible Officer	Director
Legal	There are no new legal implications for TfN as a result of this report.	Deborah Dimock	Julie Openshaw

Finance

Yes	
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Consideration	Comment	Responsible Officer	Director
Finance	The financial implications are being considered by the DfT as	Paul Kelly Financial Controller	Iain Craven Finance Director

	sole client for this project.		
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Resource

Yes	
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Consideration	Comment	Responsible Officer	Director
Resource	The resource implications have been/ are being considered by the DfT as sole client for this project.	Stephen Hipwell Head of Human Resources	Dawn Madin Business Capabilities Director

Risk

Yes	
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Consideration	Comment	Responsible Officer	Director
Risk	The key risks have been identified and can be found in this report.	Haddy Njie Risk Manager	Iain Craven Finance Director

Consultation

Yes	
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Consideration	Comment	Responsible Officer	Director
Consultation	A consultation as part of the Transport and Works Act Order for the section of corridor between Huddersfield and Westtown has been undertaken by Network Rail but no consultation has been undertaken on the wider scheme to date. However, Transport for the North have ensured officers, elected members and LEP representatives have been fully engaged.	James Syson	David Hoggarth

Appendix 1 - Further detail on expected programme of work

It is our understanding that TRU is likely to be split into around nine scheme sections (sub-projects), with a further two preparatory stages for traffic management (the optimisation and prioritisation of train movements through automating signalling decisions to improve performance and capacity) and upgrades to diversionary routes. In advance of the additional development work being concluded we understand that as the majority of expenditure for all sub-projects is required in any scenario, a decision has been taken to ensure these elements move immediately to the design phase. These include sub-projects within the geography of:

Manchester to Stalybridge:

- Remodelling for capacity & reliability;
- Electrification.

Huddersfield to Dewsbury:

- Remodelled stations;
- Four tracking and grade separation, to support reliability & capacity;
- Line speed increases;
- Electrification.

Dewsbury to Leeds:

- Asset resilience;
- Re-signalling;
- Line speed improvements;
- Electrification.

The geography of the north Trans-Pennine rail corridor that will be subject to further development work include:

Stalybridge to Huddersfield:

- Renewals work;
- Line speed increases;
- Freight and NPR options;*
- Electrification.

East of Leeds:

- Renewals work;
- Line speed increases;
- NPR/HS2 alignment opportunities;*

- Electrification (Leeds to York but also investigation of short lengths of further electrification beyond the core route).

** Transport for the North maintains that TRU should be an essential precursor to NPR and while the Leeds to Manchester leg will add capacity to the region's rail network it will not service our regional economy in the way we know rail needs to in order for the North to deliver on productivity or economic growth. With regard to the TRU / NPR interactions that will be further considered by Network Rail as part of the further TRU development work our position remains clear – a new line, via Bradford is required to truly transform the North. Improving the existing line via Huddersfield to accommodate NPR would lead to untenable levels of disruption and would also not support our freight and local service improvement aspirations.*

Further to investigating full electrification and gauge clearance and freight capacity options, we also understand that Network Rail are being remitted by the DfT, through a Client Development Agreement, to assess the following:

- Digital signalling and train control in the core route between Cottingley (to the west of Leeds) and Stalybridge to enable improved performance, recovery from delays and potentially more capacity;
- Traffic Management on the TRU route to support further capacity and performance benefits through automated signalling decisions);
- ensuring there are lasting benefits from diversionary routes and depots and stabling works;
- Fully 'Access for All' compliant stations along the corridor and improvements to the facilities and ambiance at stations to provide an enhanced passenger experience - something we have consistently raised as a pressing concern.

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Transport for the North Board

- Subject:** Strategic Development Corridors (SDC) Phase 2, Investment Programme - Qualitative Sequencing
- Author:** Owen Wilson, Major Roads Strategy Manager
- Sponsor:** Peter Molyneux, Major Roads Director
- Meeting Date:** Wednesday, 29 July 2020

1. Purpose of the Report

- 1.1 This report seeks endorsement of the Transport for the North Board on the qualitative sequencing of the Investment Programme.

2. Executive Summary:

- 2.1 The primary purpose of the sequencing work is to make the case for a pipeline of schemes to bring through the development stages, so that they are ready for delivery in the period 2027-2033. The qualitative sequencing was considered at the 11 June TfN Board.
- 2.2 The TfN Investment programme identified around £29Bn of investment, over and above schemes already in an existing programme, such as HS2, Northern Powerhouse Rail or existing road and rail investment pipelines. The initial investment programme was set out in four tables, with the fourth table containing projects starting in 2027 and beyond.
- 2.3 The sequencing has developed three distinct options for the investment programme for 2027-2033. The investment programme options have been developed in consultation with TfN Partners. This included an appraisal of the need for earlier delivery, alignment with TfN objectives, a technical assessment of deliverability and affordability. Deliverability has included consideration of technical challenges, external influences and interdependencies with other schemes. The three strategies are summarised below:
- a) Strategy 1 (S1) – More funding (£11.2bn) and more public transport focussed, resulting in a significantly more rail focussed investment programme.
 - b) Strategy 2 (S2) – More funding (£9.8bn)
 - c) Strategy 3 (S3 BAU) – Business-As-Usual (£6bn)
- All S3 schemes are also in the delivery period (2027-2033) in S1 & S2; and therefore, this points to the most immediate list of schemes for development funding.

-
- 2.4 S1, S2 and S3 are options rather than choices, and the funding for each is over and above the funding needed to deliver High Speed North and the Strategic Road Study Schemes. The amount of funding required doesn't increase the overall investment programme, rather it allows acceleration of the programme. As future policy priorities and availability of funding are unknown at this stage, the options allow a flexible and agile approach to be maintained.
- 2.5 Following endorsement of the 'qualitatively' updated investment programme the next phase of work will quantify the expected economic, social and environmental benefits arising from each of the three investment options (S1-S3), using TfN's suite of transport and economic models. Given the natural uncertainty about future transport demand, the benefits generated will be tested against four credible yet substantially different future travel scenarios. This will lead to a final refined version of the sequenced Investment programme for approval in Spring 2022.

3. Background:

- 3.1 TfN commissioned a consultancy team led by WSP, in partnership with Steer Group and Costain to support work on the qualitative sequencing. Key elements of the commission which have informed the sequencing are:
- a) A review and update of the list of transport schemes
 - b) A review and update of schemes cost assumptions
 - c) Identification of technical, environmental and other challenges impacting on scheme deliverability
 - d) An economic and social impacts evidence base and narrative which has helped support the sequencing decisions
 - e) The development and application of a sequencing framework to develop three qualitatively sequenced options for the investment programme.
 - f) In collaboration with TfN, TfN partners and industry experts the development of four future travel scenarios, to be used for the quantitative benefits analysis of the Investment Programme.
- 3.2 Governance of the Qualitative Sequencing has been via the Strategic Oversight Group acting as the Project Board, with reporting to Executive Board and TfN Board at key decision points.
- 3.3 Individual Interventions were assessed and rated using the agreed criteria and assessment principles in the sequencing framework. The approach is summarised in further detail in the Qualitative Sequencing Report, attached as appendix 1.

Core outputs from the SDC2 qualitative sequencing are:

-
- a) Update of the TfN evidence base from the initial SDC work, which has led to the removal of some schemes from the investment programme, listed in Appendix 1, paragraph 4;
 - b) Review and update assumptions on the Reference Case¹ schemes;
 - c) Split the Investment programme Table 4 into two time periods, 2027-2033 and post 2033 (updated tables attached at Appendix 4).
- 3.4 The sequencing has been developed in parallel with and is aligned with work on TfN's Assurance Framework. A report on the Assurance Framework is scheduled to be presented to TfN Board in July.
- 3.5 TfN partners have been engaged in the work from the outset, providing detailed comments and feedback on the products detailed in point 3.1 and in February 2020 they participated in an in-depth review of the initial investment programme sequencing options.
- 3.6 At a programme-level the qualitative sequencing has applied three distinct investment strategies in developing the Investment Programme options. These are:

Strategy 1 (S1)

Strategy 1 the highest overall level of investment with a higher level of earlier investment in rail and public transport schemes over the period up to 2033. S1 can be characterised as a more ambitious programme of rail delivery, building upon planned HS2 and NPR programmes to support an accelerated approach to achieving modal shift to public transport. S1 assumes there will be an opportunity to re-think how value for money assessments are determined and that rail schemes can be brought forward for delivery more quickly in the future. As a result this strategy has £7.24bn in rail and £3.86bn in roads (£3Bn on the Strategic Road Network, £0.86Bn on the Local Authority managed Major Road Network)

Strategy 2 (S2)

Strategy 2 assumes that during the period up to 2033 in addition to major rail investment through HS2 and NPR there is a need for further significant investment in improving road connectivity. S2 assumes continuation of a more traditional approach to determining value for money and accessing funding for transport schemes. Given the weighting in RIS2 to schemes in the south this strategy assumes a higher level of spending in the north in successive 'RIS' periods. As such this means £2.47bn on rail in addition to HS2 and NPR spend and £8.16bn on road.

¹ For the SDC work Reference Case schemes includes both committed schemes and non-committed strategic interventions (e.g. Northern Powerhouse Rail and the Trans Pennine Tunnel) that can be reasonably expected to be delivered in the medium and long term.

Strategy 3 (S3 BAU) – Business-As-Usual

Strategy 3 assumes more constrained levels of funding in addition to major investment through HS2 and NPR and the continuation of a more traditional approach to determining value for money and accessing funding for transport schemes. This has a split of £3.67Bn road / £2.29bn rail and in addition to the cost of HS2 and NPR.

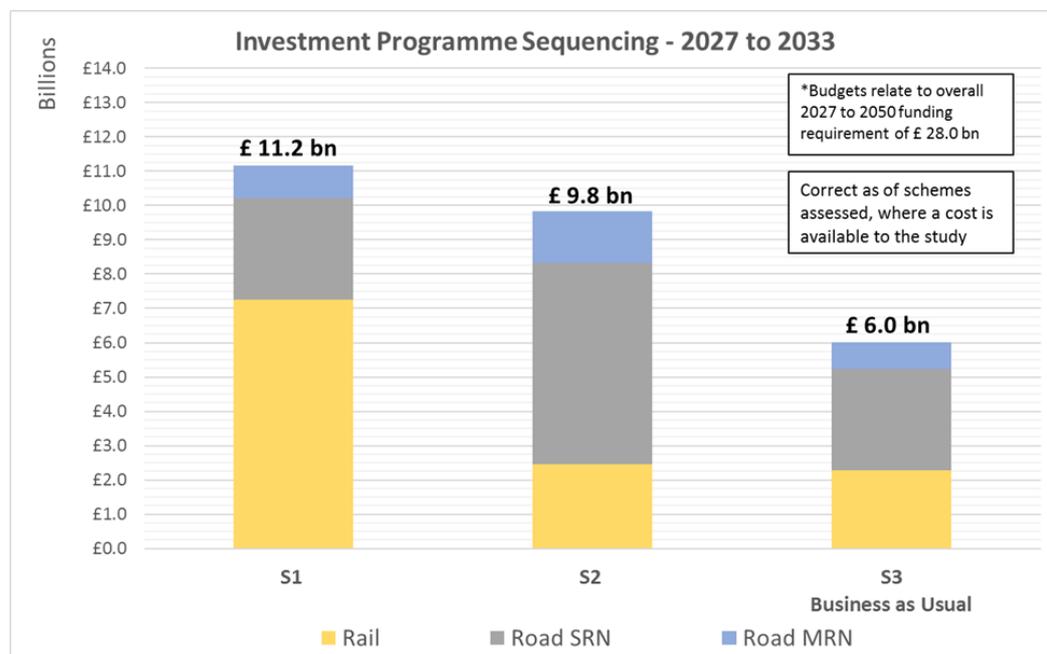
Funding assumptions in all three options are in addition to an estimated range of £18-£20 billion on Reference Case schemes over the same period (2027-33), for example investment in completing the A66 dualling, in HS2 and Northern Powerhouse Rail.

- 3.7 Strategies S1 & S2 build on the S3 BAU programme. Appendix 4 lists schemes in the three investment strategies.
- 3.8 In identifying three Investment programme options at this stage TfN is taking an agile approach to dealing with uncertainty in future policy priorities and in how best to support the movement of people and goods in the future. Evidence from the quantitative benefits analysis will support TfN in making informed choices on where to prioritise investment in bringing forward the 2027-2033 pipeline of schemes.
- 3.9 TfN has taken the view in developing and sequencing the Investment Programme that to deliver transformational benefits we need a programme wide approach, recognising that many schemes deliver benefits over a wide pan-northern geography. Examples include rail capacity and reliability improvements, in Manchester, Leeds, on the West Coast Mainline and other pinch points across the Rail network. And on the highway network include building capacity and resilience into East – West road connections and improved access to Northern Ports.
- 3.8 The three investment options will be used as the starting point for the quantitative benefits analysis work, alongside four distinct (demand-side) future travel scenarios. In adopting this approach TfN aims to develop a 'route map' for transport investment which fully supports and actively works towards the decarbonisation of transport, recognising that our road and rail networks are both critical to delivering an integrated, reliable and sustainable transport system. For example, the road network is essential for the efficient transportation of freight accounting for 90% of modal share.
- 3.9 The analysis of the three investment strategies will include an assessment of what packages of policies and investment measures are needed to meet commitments for decarbonisation of transport. For example, a shift to active travel for shorter journeys, a greater uptake of public transport and the decarbonisation of motorised transport through an increased use of electric / hydrogen vehicles. Also, the impact of future trends in how freight is moved within and through the North. TfN's analytical work will also recognise the diverse nature of

the North and the different transport needs of urban and rural areas.

- 3.10 The DfT has commenced consultation on the Transport Decarbonisation Plan (TDP) and will towards the end of this year set out the policies and plans needed to tackle transport emissions. As part of this plan the role, usage and travel patterns of roads will change from today, as part of a more sustainable and integrated transport offer. TfN's work on Investment Programme will take account of national and local decarbonisation policy drivers.
- 3.11 The updated SDC2 Strategic Outline Programme (SOP) is estimated to cost circa £28.0 billion, or c.£1.2 billion per annum 2027 - 2050, which assuming an evenly distributed level of spend would equate to c.£7.3 billion for the period 2027-2033. This is in addition to an estimated range of £18-£20 billion on Reference Case schemes over the same period (2027-33), principally on High Speed North.
- 3.12 The level of funding required for each of the three investment strategies, over the period 2027-2033, split by rail, Road SRN, Road MRN is presented in figure 1 below.

Figure 1 – Programme level estimate of financial cost of the SDC2 SOP programmes 2027-2033, based on today's prices.



- 3.13 It is important to note that costs shown in figure 1 are based on high level estimates and exclude costs for a small proportion of the schemes where estimates are yet to be determined due to limited detail on scope, for example a number of schemes in the RIS3 programme.

4. Future Travel Scenarios

- 4.1 TfN will use future travel scenarios to assess the delivery strategies and in doing so build a strong evidence base which can be used to influence policy decisions and inform investment choices. This evidence will be used to validate the recommended investment programme and to demonstrate the potential impacts of societal changes and policy choices outside of TfN's direct areas of influence. For example how decisions on land use planning, how people pay for transport and on increasing use of digital connectivity might impact on transport and on achieving the North's ambitions for inclusive and sustainable growth.
- 4.2 To align with TfN's policy positions, and make use of improvements to the Analytical Framework, we have refreshed TfN's previous Future Travel Scenarios to consider a broader range of drivers of change, including national and local sustainability, technology change and uptake; social behavioural change; and spatial planning policy.
- 4.3 Whilst these scenarios are focussed on the longer-term, we are cognisant of the fact that current global challenges to tackle Covid-19 are creating significant additional uncertainty by changing the way we move and more fundamentally what society may deem as important in the future.
- 4.4 The impact of the pandemic has demonstrated the importance of tools which allow for an effective assessment of what these trend changes may mean. We believe that the scenarios as developed pre-crisis still represent a range of plausible longer-term futures, but we will address this issue as we finalise the detail to ensure that we have a clear story about how each future is arrived at from our current circumstances. This will include a view on the short- and medium-term impacts of Covid 19; and how these could impact the longer-term future pathways through to 2050.
- 4.5 TfN plan to publish a report on the refreshed Future Scenarios during 2020. The four Future Scenarios are summarised in appendix 5.
- 4.6 The Future Scenarios Framework will be applied within TfN's Analytical Framework, to provide enhanced evidence of the social, economic and environmental benefits of the Investment Programme. Helping to ensure that our transport investment plans, policies and strategies deliver the North's ambitions for inclusive and sustainable growth, across a range of different future scenarios.
- 4.7 The Future Scenarios work is fundamental to TfN's work on the development of transport decarbonisation pathways. This will combine assumptions in the four scenarios on future transport behaviours and demand, with evidence on the rate at which transport related measures can reduce transport-based carbon emissions. For example, the rate of uptake of ultra-low and zero emission vehicles.

5. Conclusion and next steps

- 5.1 This phase of work has developed three sequenced investment programmes:
- a) Based on three distinct investment options.
 - b) Focused on an assessment of need and deliverability between 2027-33.
 - c) Is geographically inclusive.
 - d) Has been co-produced with and agreed by over 30 Partners representatives from all TfN's partner Transport Authorities.
 - e) Included detailed discussion, review and input from Highways England and Network Rail.
- 5.2 TfN Board is being asked to endorse the approach to sequencing the investment programme, so that TfN can take forward further work on developing a route map for delivering a sustainable transport investment programme.

6. Options Considered:

- 6.1 Not applicable at this stage as there are no options to be considered.

7. Recommendation:

- 7.1 That the Board endorses the approach to sequencing of TfN's Investment Programme, as detailed in this report.

8. Appendices:

- 8.1 SDC Phase 2 documents:
1. Draft Sequencing Report
 2. Sequencing Framework – example proforma
 3. Updated list of pre-2027 schemes
 4. Draft list of sequenced schemes 2027-2033 and post 2033 for the three sequenced investment programmes.
 5. Summary of Future Travel Scenarios

List of Background Documents

TfN Strategic Transport Plan 2019
TfN Investment Programme 2019
TfN Qualitative Sequencing Report

Required Considerations

Please confirm using the yes/no options whether or not the following considerations are of relevance to this report.

Equalities:

Age	Yes	No
Disability	Yes	No
Gender Reassignment	Yes	No
Pregnancy and Maternity	Yes	No
Race	Yes	No
Religion or Belief	Yes	No
Sex	Yes	No
Sexual Orientation	Yes	No

Consideration	Comment	Responsible Officer	Director
Equalities	An Impact assessment has not been carried out as this report is seeking endorsement for the approach to sequencing the Investment Programme.	Owen Wilson	Peter Molyneux

Environment and Sustainability

Yes	No
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Consideration	Comment	Responsible Officer	Director
Sustainability / Environment	Sustainability / environmental risks and opportunities have been considered at a high level, using a qualitative assessment to develop the three investment programme options. These will be assessed further at the next stage of development.	Owen Wilson	Peter Molyneux

Legal

Yes	No
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Consideration	Comment	Responsible Officer	Director
Legal	TfN Legal Team has confirmed there are no obvious specific legal implications.	Julie Openshaw	Dawn Madin

Finance

Yes	No
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Consideration	Comment	Responsible Officer	Director
Finance	TfN Finance Team has confirmed that this activity is budgeted and that there are no additional financial implications	Iain Craven	Iain Craven

Resource

Yes	No
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Consideration	Comment	Responsible Officer	Director
Resource	TfN HR Team has confirmed there are no resource implications.	Stephen Hipwell	Dawn Madin

Risk

Yes	No
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Consideration	Comment	Responsible Officer	Director
Risk	A risk assessment has been carried out and the key can be found in the risk register	Haddy Njie	Iain Craven

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Consultation

Yes	No
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Consideration	Comment	Responsible Officer	Director
Consultation	The sequencing work has built upon the SDC1 development work, which included extensive public consultation. Consultation on this technical report has taken place with TfN partners.	Owen Wilson	Peter Molyneux



Strategic Development
Corridors



Qualitative Sequencing



Draft Final Report



May 2020



Contents

1	Introduction	2
2	Qualitative Sequencing Framework	6
3	Reference Case Review	11
4	SDC1 SOP Schemes Removed from the Investment Programme....	15
5	Qualitative Investment Strategies	16
6	Assessment Outputs & Next Steps	30

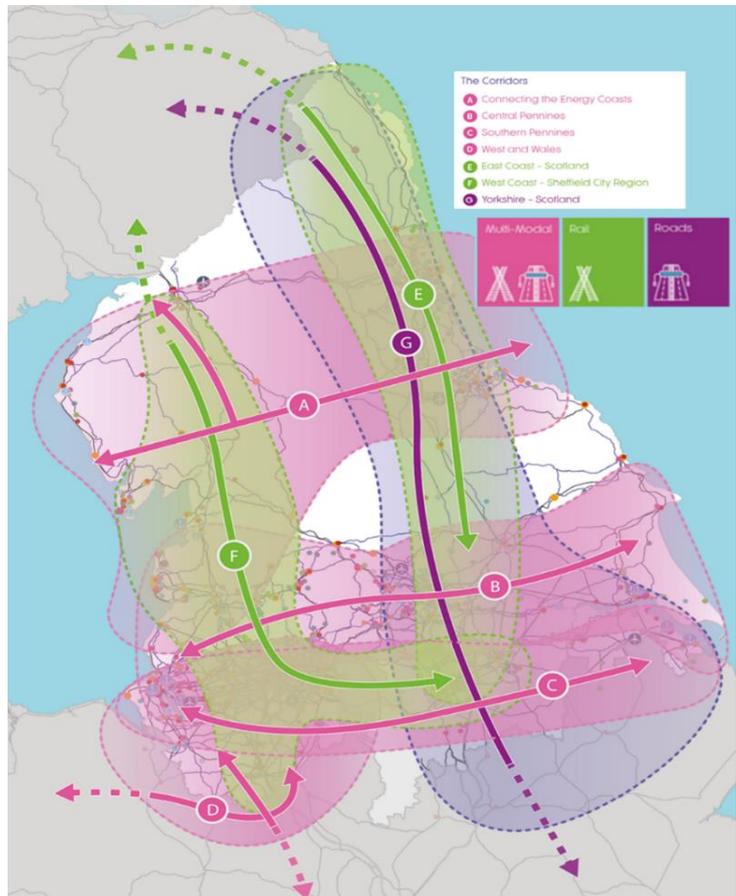
Appendices

Contained separately

1 Introduction

Strategic Development Corridors

1.1 The Strategic Transport Plan (STP)¹, published in early 2019, was the culmination of an unprecedented collaborative effort between Transport for the North (TfN) and its Partners, that was underpinned by a long-term Investment Programme, which presented TfN’s initial priorities for the North, to connect its regions based on economic strengths and addressing current constraints.



1.2 The Strategic Development Corridors (SDCs) reflect the views of TfN and its Partners, bringing regions together to consider transport solutions at a macro level to present a more strategic view of transport investment that connects the economic assets across the North, both internally to create an economic mass, but also externally as part of a global marketplace. They are not traditional transport corridors, but economic eco-systems where supported by the right conditions, there are the greatest opportunities for levelling up the economy, delivering a step-change in productivity and economic growth.

1.3 Each of the SDCs have a different scale of contribution towards achieving the outcomes of transformational economic growth and therefore different transport needs. However, investment in all of the corridors is critical to the collective ambitions of TfN and Partners.

1.4 TfN’s remit is focused on the identification and recommendation of strategic transport interventions, which generally support longer distance trips and have a pan-northern impacts. TfN continues to work with partners to support complementary investment at a local level to ensure that a ‘whole journey’ and ‘total network’ approach to improving transport is followed.

¹ <https://transportforthenorth.com/wp-content/uploads/TfN-final-strategic-transport-plan-2019.pdf>

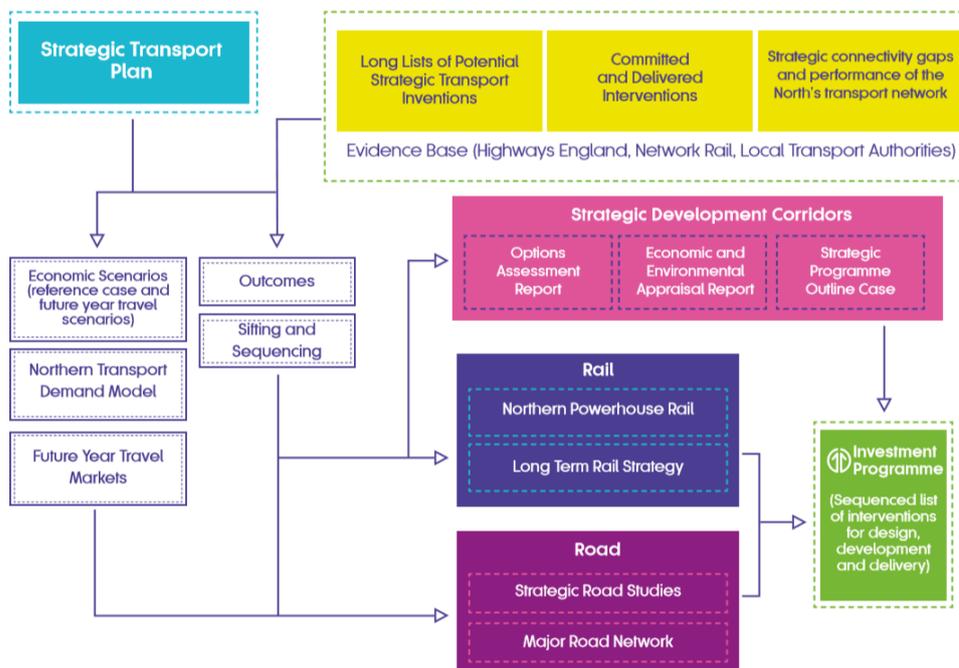
Investment Programme (January 2019)

1.5 The Investment Programme² (January 2019) has a horizon year of 2050, to align with the STP, and sets out TfN’s view of the appropriate pipeline of investment in strategic transport to deliver those plans. This will enable TfN and its Partners to secure funding and delivery of the right schemes at the right time and aims to provide greater certainty for Local Transport and Highway Authorities to deliver complementary investment.



1.6 There are 4 tables in the initial Investment Programme (IP Tables 1-4):

- **IP Table 1** includes interventions or packages of interventions that were announced prior to the publication of the STP, including those which had received approval, have a confirmed funding stream, and are in the process of delivery.
- **IP Table 2** includes those interventions which are currently in development by Network Rail and Highways England, which TfN considers as needed. TfN supports a start to be made on their delivery **before 2027**.
- **IP Table 3** sets out the interventions additional to those in **IP Table 2** which TfN’s evidence demonstrates could and should have a start made on their delivery **before 2027**.
- **IP Table 4** sets out the later phases of the Northern Powerhouse Rail programme and also includes further interventions where DfT Strategic Studies & TfN’s SDC evidence suggests there may be a case for delivery during the lifetime of the STP.



² <https://transportforthenorth.com/wp-content/uploads/TfN-final-investment-programme-19-20.pdf>

- 1.7 The year 2027 was chosen as an initial point within the Investment Programme to reflect when HS2 was due to be completed to Crewe. It also lies in the middle of Road Investment Strategy 2 and 3, giving TfN flexibility.
- 1.8 The Investment Programme should be seen as a series of interventions rather than specific schemes as, given its long-term nature, the exact solutions will inevitably change over time.

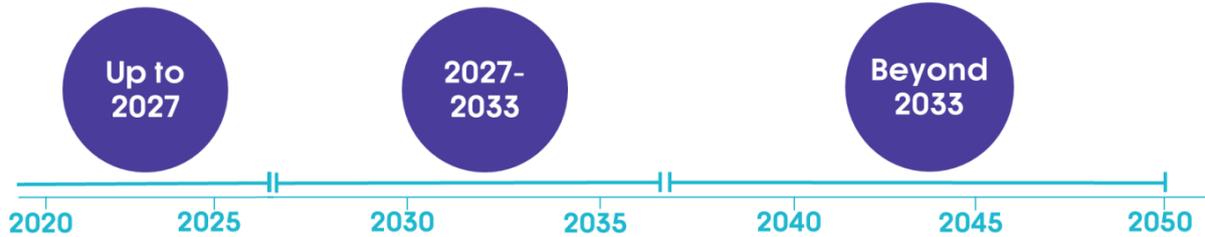
Sequencing the Investment Programme - SDC Phase 2

- 1.9 The TfN Business Plan for 2019/20 identified a need to: *“Commence work on sequencing of the TfN Investment Programme, building on the business case development work being undertaken on Northern Powerhouse Rail, Transpennine Route Upgrade, **the Strategic Development Corridors**, and the work programmes delivering the Long-Term Rail Strategy”*. The SDCs comprising:
- Central Pennines (multi-modal);
 - West and Wales (multi-modal);
 - Connecting the Energy Coasts (multi-modal);
 - Southern Pennines (multi-modal);
 - West Coast to Sheffield City Region (rail);
 - Yorkshire to Scotland (road); and
 - East Coast to Scotland (rail).
- 1.10 Each of the SDCs in Phase 1 developed a Reference Case, as the “do minimum” against which packages of possible pan-northern interventions were appraised. The Reference Case included both committed schemes and non-committed schemes being progressed through national programmes (HS2, Highways England’s Roads Investment Strategy, DfT Strategic Studies, Network Rail’s Enhancements Delivery Plan, Rail Franchises) and Northern Powerhouse Rail.
- 1.11 The programmes of interventions, Strategic Outline Programme (SOP), put forward within each SDC was developed to maximise the overall benefits of the schemes in the Reference Case and to improve the distribution of benefits across the North.
- 1.12 HM Treasury (HMT) public sector business case guidance describes a SOP business case³ content to be appropriate to a programme of interventions, but at an early stage and with a relatively low level of detail, particularly in terms of Value for Money appraisal.
- 1.13 SDC Phase 2 (SDC2) introduces a ‘sequential’ assessment of when interventions are most needed to support delivery of the North’s STP, as statutory advice to Government:
- Update our evidence base from SDC Phase 1 for Strategic Outline Programme (SDC1 SOP) schemes
 - Review and update the Reference Case;
 - Split IP Table 4 into two time periods:

3

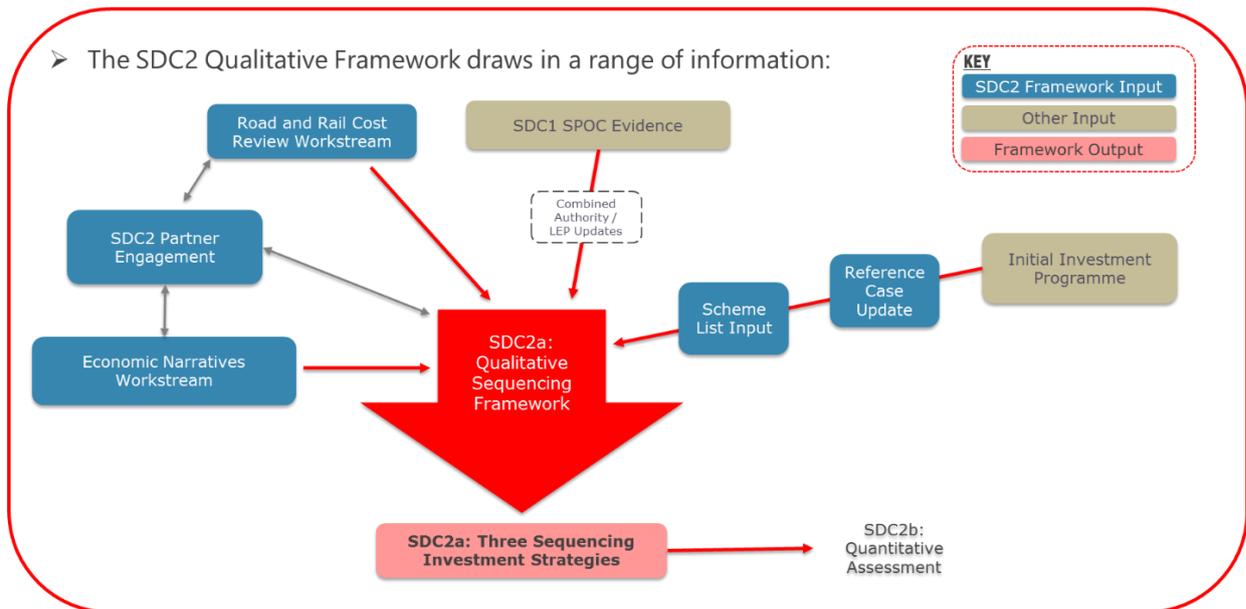
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/749085/Programme_Business_Case_2018.pdf

- 2027-2033: Schemes that will provide the basis of a pipeline of future investment, in the late 2020's / early 2030's.
- 2033-2050: Schemes that are unlikely to be deliverable prior to the mid 2030's and/or schemes where delivery is less urgent to support TfN & Partner outcomes.



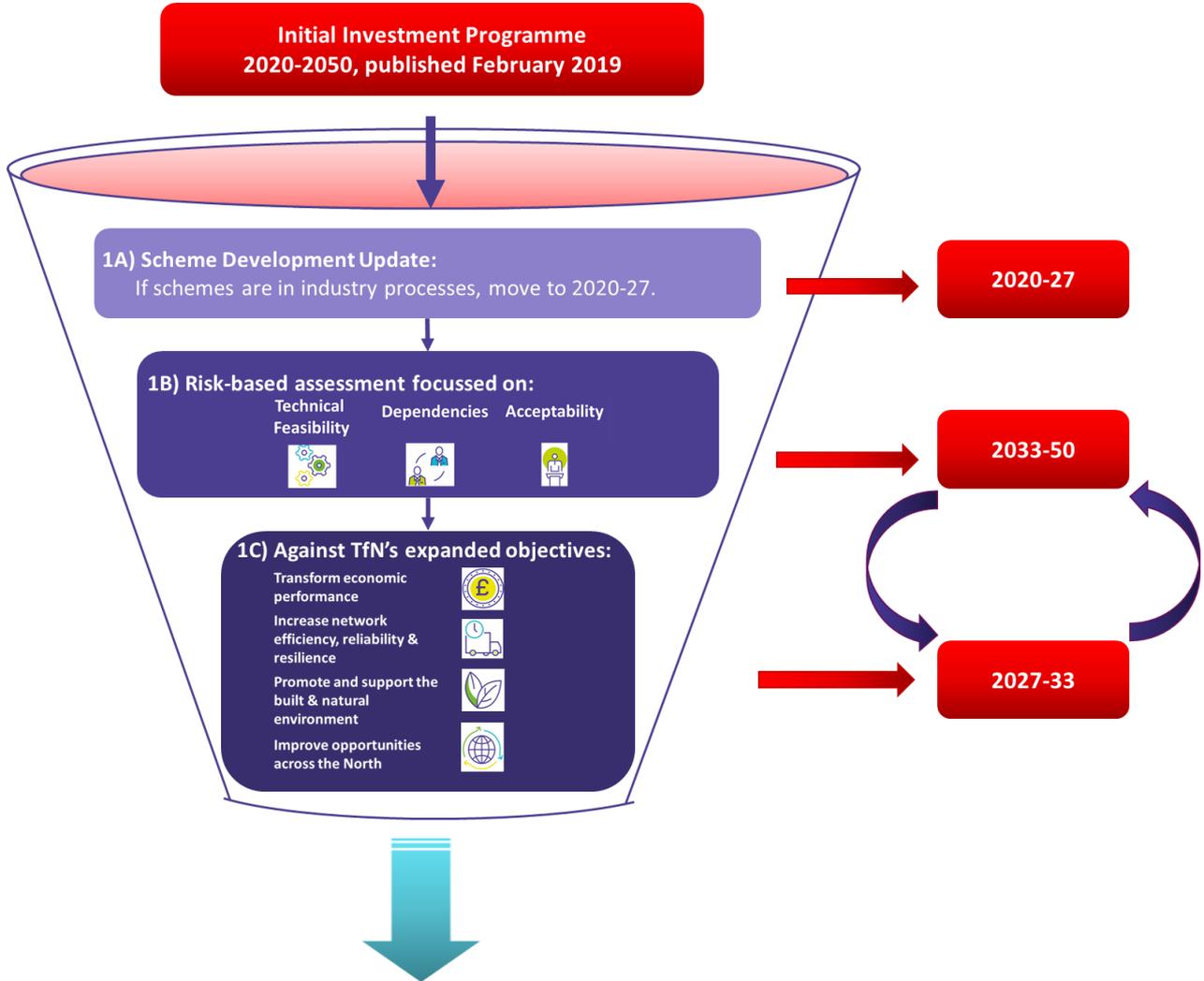
1.14 SDC2 is divided in to two stages of work:

- **Stage 1:** Qualitative sequencing identifying three (supply-side) investment strategies for further analysis at the quantitative stage against four (demand-side) travel scenarios; and
- **Stage 2:** Quantitative sequencing benefits analysis, testing and refining the three investment strategies, using TfN's economic and transport models. To identify a preferred sequencing strategy and delivery programme.



2 Qualitative Sequencing Framework

2.1 A qualitative sequencing framework has been developed, with Partner input through a series of workshops held in October 2019 and at Strategic Oversight Group, that follows a staged approach to intervention assessment:



Expanded objectives/criteria:

- Support decarbonisation of transport
- Support of the movement of freight, International Connectivity, UK Trade Investment
- Support the resilience of the North's transport network
- Higher Productivity
- Greater local investment and a more balanced Northern economy
- Greater labour market participation and/or greater net employment within the North
- Contribute towards improving conditions in air quality
- Contribute towards a more inclusive, and better integrated sustainable transport network

Sequencing Criteria

2.2 Individual SOP interventions have been assessed against the following sequencing objectives:

Ref	Step 1B) Tier One Assessment
ST1	Does the intervention align with the STP vision and objectives?
ST2	To what extent is there a risk that the intervention could act in opposition to any of the applicable STP policy positions?
EC1	Does the intervention help support higher productivity, greater local and /or a more balanced northern economy, and greater net employment within the North?
SU1	Would delivering the scheme before 2033 support TfN and Government commitments for decarbonisation of transport?
AC1	Is the intervention anticipated to attract transport user, business user and political support, based on the nature of the intervention?
AC2	Is the level of disruption which may be caused by the construction of the scheme likely to be acceptable to customers?
DL1	To what extent is the scheme proposal (in as much detail as is currently understood), constructible and viable before 2037?
DL2	Are there significant external influences which could affect the viability or delay the scheme progressing (including DCO requirements) beyond a 2037 delivery date?
DE1	Is there any inter-relationship between this intervention and another scheme which may not be in place before 2037, where this intervention should only be delivered after another in completed, in order to achieve the best outcomes?
DE2	Is there any inter-relationship between this intervention and another scheme which may not be in place before 2037, where this intervention can only be delivered after another in completed, due to the technical dependencies between schemes?
Ref	Step 1C) Tier Two Assessment
ST3	Does the intervention address a significant current or future problem on the major transport network in terms of performance and/or resilience, which is expected to still exist in 2033 (with the Ref Case in place)?
ST4	Does the intervention present opportunities to support local strategies to support growth which will be in place by 2033? (e.g. spatial and economic plans). How dependent are these on improved transport connections?
ST5	Does the intervention align with national infrastructure schemes and priorities, which are expected to be in place by 2033?
ST6	Does the intervention support the movement of freight, international connectivity, UK trade and investment?
ST7	Does the intervention present opportunities for investment to align with the development of new technologies which are expected to be in place by (or soon after) 2033 and/or complementary behaviour change programmes?
ST8	Does the intervention present opportunities to improve the resilience of the north's transport network?
EC2	Does the intervention help support higher productivity, through reductions in the cost of travel for businesses and/or increased economic agglomeration?
EC3	Does the intervention help support greater local investment and/or a more balanced Northern economy?

EC4	Does the intervention help support greater labour market participation, and/or greater net employment within the North?
SU2	Does the intervention have the potential to contribute towards improving conditions in areas where air quality is anticipated to be a significant concern in 2033?
SU3	Could the scheme contribute towards a more inclusive, and better integrated sustainable transport network, including enhancing the potential for multi-modal journeys and active travel?
SU4	Are there any potential environmental constraints identified which could stop the scheme being delivered before 2033?
AF1	What is the scale of the whole life capital and operating costs? (Low / Medium / High / Very High)
AF2	Is the scheme affordable during the period 2027-2033 when considered as an individual intervention?
DE3	How strong would the case for this intervention be, should one or more element of the Reference Case be delayed or not realised?

Assessment Principles

2.3 The general principles of how interventions have been assessed within the qualitative sequencing framework are presented below:

Expanded Objectives	Acceptability	Technical Feasibility		Dependencies	Rating
Strongly supports objective	Strong user, business or political support	No third-party interfaces or statutory planning requirements identified at this stage	Scheme is constructible and viable before 2037, with no associated risk	Scheme is not technically dependent on another scheme.	
Aligns with objectives	Some user, business or political support	Limited interfaces identified, with third parties likely to endorse proposals. No statutory planning requirements expected	Marginal risk, mitigation possible within usual structures	n/a	
Limited or negligible contribution to the objective	No/limited user, business or political support	Many third-party interfaces, but with clear definition. Potential for conflict but expected to be manageable. Statutory planning likely	Some significant risk, mitigation possible	Scheme is dependent on at least one of scheme, which is considered more than likely to be completed by 2037	
Potential hinders the objective	Likely to be opposed by some users, businesses or politicians	Significant and complex interfaces, across multiple third-party partners and organisations. High likelihood of conflict and need for negotiation. Statutory planning more than likely	Significant risk, no identifiable mitigation strategy at this stage	Scheme is dependent on at least one of scheme, for which delivery by 2037 is less than certain	

Investment Strategies

2.4 At a programme-level the qualitative sequencing has considered three distinct investment strategies for further consideration:

Strategy 1 (S1)

- An increased Northern Budget between 2027 and 2033 in line with National Infrastructure Commission (NIC) expectations. Investment Programme deliverable by 2050.
- To support levelling up the economy, delivering a step-change in productivity and economic growth, as supported by the Northern Powerhouse Independent Economic Review (NPIER).
- An accelerated approach to delivering TfN and Government commitments for decarbonisation of transport.
- An approach where TfN is in the position to take a Northern Transport Charter approach to investment planning. With an emphasis on achieving a balanced approach to achieving economic, social and environmental benefits.
- Strategy 1 has a higher level of earlier investment in rail and public transport schemes over the period up to 2033.

Strategy 2 (S2)

- An increased Northern Budget between 2027 and 2033 in line with NIC expectations. Investment Programme deliverable by 2050.
- To support levelling up the economy, delivering a step-change in productivity and economic growth, as supported by the NPIER.
- A continued focus on economics and cost-benefit analysis when making investment decisions, supported by wider growth and social outcomes.
- Strategy 2 has a higher level of earlier investment in road schemes over the period up to 2033.

Strategy 3 (S3 BAU) – Business-As-Usual

- Continued levels of transport funding between 2027 and 2033. Full 2020-2050 Investment Programme unlikely to be delivered by 2050.
- To support continued levels of economic growth, that risks failing to support levelling up the economy.
- Continued governance arrangements for funding, including allocation of funds between Rail, Strategic Road Network and Major Road Network.

2.5 Strategies S1 & S2 build on the S3 BAU programme. These three (supply-side) investment strategies will then be used as the starting point for the quantitative sequencing benefits analysis work, alongside the following four distinct (demand-side) travel scenarios:

Future Scenario 1 – Just about managing

- Existing trend of urbanisation and growth distribution continues. Little change in demographics and travel behaviour seen today.
- Modest technology uptake, widespread growth in electric vehicles and some autonomy. Net Zero 2050 target not met - climate change and travel disruption becomes more extreme.
- Moderate growth in remote working. Continuation of freight transportation as seen today.

- No transformation in level of economic growth. Reactive political direction results in a rigid economy, lacking agility and vulnerable to economic shocks.

Future Scenario 2 – Prioritised Places

- Bespoke local strategies, focusing on quality of life, place-making and community, rather than primarily economic growth. Slower growth in cities, more in towns and rural/coastal areas.
- Moderate growth in electric vehicles and some autonomy, especially in cities. Continued private mobility ownership sees a struggle to realise a zero-emission transport network.
- More active and public transport within communities. People value face to face interaction.
- No transformation in level of economic growth. Fairer distribution of prosperity. Focus on work-life balance and social equity within and between places.

Future Scenario 3 – Digitally Distributed

- Growth dispersed between cities and towns and less city-centric.
- High uptake of EV, ULEV's and driverless vehicles means target of zero emissions before 2050 is met (but slow progress in short term). Some fiscal and regulatory action to influence technology use, but congestion persists in places and opportunities not available to all.
- Increased digital remote working and dispersed employment > trip lengths are longer but less often. Willingness to embrace MaaS and shared mobility – through technology acceptance. Increase in road capacity. Freight warehousing distributed.
- Transformational economic growth as towns and cities become more interdependent.

Future Scenario 4 – Urban Zero Carbon

- Cities and large towns become more dense but attractive places to live. Large rural settlements may benefit, others will see reduction in population and employment without support of national policy.
- Strong fiscal and regulatory action set us on pathway to zero carbon before 2050. Increased devolution leads to integrated transport and energy systems which deliver clean networks.
- Urban living reduces remote working and increases freight consolidation centres. Increased public and active transport, including shared mobility as public and private travel becomes blurred.
- Transformational economic growth primarily through urban agglomeration and place-making.

2.6 The quantitative sequencing benefits analysis will test and refine the three investment strategies, using TfN's economic and transport models, to identify a preferred sequencing strategy and delivery programme.

Completed Intervention Pro Forma

2.7 Completed individual scheme pro forma are contained in **Appendix C** - these should be reviewed and updated periodically. Initial outcomes of the qualitative sequencing framework appraisal were subject to both internal TfN moderation and Partner moderation through a series of workshops held in February / March 2020.

3 Reference Case Review

- 3.1 The Government is already funding a significant programme of transport interventions across the North.
- 3.2 Further investment planned by both central Government and local bodies including:
- Transport schemes developed by combined and local authorities across the North;
 - Major Road Network and Large Local Majors regional evidence base programme of schemes developed by TfN and local highway authorities;
 - Northern Powerhouse Rail (NPR) being developed by TfN;
 - High Speed 2 (HS2) being led by Central Government;
 - Road investment schemes put forward by Highways England; and
 - DfT Strategic Studies including: Trans-Pennine Tunnel and Manchester North West Quadrant.
- 3.3 In this context, a Reference Case, includes both committed schemes and non-committed strategic interventions that can be reasonably expected to be delivered in the medium and long term to meet the North's economic growth aspirations.
- 3.4 As part of this stage of work the Reference Case has been reviewed and updated to reflect any scheme development progress since Autumn 2018 taking account of:
- Major Roads Network Regional Evidence Base and Prioritisation (MRN1);
 - Combined & Local Authority Scheme Development and Funding Applications e.g. Transforming Cities Fund;
 - Highways England Road Investment Strategy (RIS2);
 - Network Rail Enhancements Delivery Plan Updates / Northern Powerhouse Rail; and
 - Government's response to the Oakervee Review of HS2.

Major Roads Network Regional Evidence Base and Prioritisation

- 3.5 The following MRN1 priority SDC1 SOP schemes are assessed to be deliverable before 2027:
- A1237 York Northern Outer Ring Road Phase 2
 - A1079 improvements at Wilberfoss
 - New link between A6 and A591 to the north of Kendal
 - Carlisle to Cockermouth capacity and reliability Improvements
 - Wigan to Bolton Strategic Route
 - A582 - South Ribble Western Distributor

Combined & Local Authority Scheme Funding Applications

- 3.6 The following combined & local authority SDC1 SOP schemes are assessed to be deliverable before 2027:
- Leeds Bradford Airport Parkway station
 - Durham Road (A690)/(A19) Junction Improvements
 - Port of Liverpool to West Coast Main Line enhancements
 - Energy Coast Rail Upgrade
 - A66/A596/Ramsay Brow Junction Improvements (Workington)
 - A1 to A1056 East Corridor (including A1 improvements and Rotary Way)

- A19 - A1018 improvement (Includes Sunderland CC) remodelling
- Portrack Relief Road
- A19 Grade Separated Junction, Elwick Bypass and Hartlepool Western Link
- Lincolnshire Lakes Road Infrastructure
- A494 River Dee Bridge Upgrade
- A483 Improvements
- A55 Northop to A494 Shotwick improvements
- Warrington Growth Programme transport improvements package
- Harrogate Line Improvements (formerly named Harrogate – Skelton junction)
- Sheffield / Rotherham Innovation Corridor
- Cottam Parkway
- Thorpe Park new station
- M6 Junction 33 Improvements

3.7 The following former combined authority SDC1 Reference Case scheme has been withdrawn:

- Leeds Bradford Airport link road

Highways England Road Investment Strategy (RIS2)

3.8 The following SDC1 Reference Case schemes were initially listed in RIS1, but no longer appear in RIS2 scheme lists:

- M62 Chain Bar
- M53 J5-11
- A1 and A19 technology Improvements
- M56 J11a
- A61 dualling
- A1 in Northumberland
- M60 J24-27 and 1-4
- M56 J6-8

3.9 The following SDC1 Reference Case schemes are listed as committed for Roads Period 2 (2020-2025):

- A1 Morpeth to Ellingham
- A19 Down Hill Lane
- A1 Birtley to Coal House
- A66 Northern Trans-Pennine
- A585 Windy Harbour to Skippool
- M60/M62/M66 Simister Island
- A61 Westwood Roundabout
- A5036 Princess Way
- Mottram Moor Link Road & A57 Link Road
- M6 Junction 19

3.10 The following SDC1 Reference Case schemes were subject to the Smart motorway stocktake. Following publication of the stocktake the current working assumption is that these schemes will proceed with compliance to its recommendations:

- M62 Junctions 20 -25
- M6 Junctions 21A-26
- M56 Junctions 6 -8

- 3.11 The following SDC1 Reference Case / SOP schemes were identified as RIS3 pipeline schemes or schemes that will be considered as part of future Route Strategies:
- A19 North of Newcastle Junctions (scope not fully defined SDC1 Reference Case & SOP)
 - A64 Hopton (SDC1 Reference Case)
 - M1 Leeds Eastern Gateway (SDC1 SOP)
 - M1/M62 Lofthouse Interchange (SDC1 Reference Case)
 - M6 Junctions 19-21A Knutsford to Croft extra capacity (SDC1 SOP)
 - M1 Junctions 35A-39 Sheffield to Wakefield extra capacity (SDC1 Reference Case)
 - A1 Doncaster to Darrington (SDC1 Reference Case, comprising A1(M) Doncaster Bypass and A1 Redhouse to Darrington)
 - M6 Junction 22 (SDC1 Reference Case)
 - Manchester South East Junction improvements (SDC1 Reference Case, formerly M60 J24-27 and 1-4 smart motorway)
 - A595 Whitehaven Relief Road (SDC1 Reference Case)
 - A590 Improvements (SDC1 SOP)
- 3.12 The DfT/Highways England expect Strategic Transport Bodies to play an active role in articulating the benefits of RIS3 pipeline / Route Strategies proposals being examined in their area, and for these reasons, all of the schemes listed above are now treated as SOP schemes, apart for M6 Junction 22 which will be delivered as part of the Parkside development (Phase 1) and developer funded.
- 3.13 RIS2 sets out the continued progress for the following SDC1 Reference Case (post 2027) Strategic Studies 'mega' schemes:
- M60 Manchester North West Quadrant including M62 to A57 Junction and Link (SDC1 SOP scheme)
 - Trans-Pennine Tunnel
- 3.14 RIS2 also identifies a new Strategic Study:
- Central Pennines – identified through the Central Pennines SDC1 study the component parts are retained as part the SDC2 SOP process, at this early stage of scheme development.

Rail Industry Schemes

- 3.15 The following schemes previously identified for delivery before 2027 have been reassessed as SDC2 SOP schemes:
- Skipton - Colne - Gannow Junction (journey time and service improvements)
 - Skelmersdale Rail Link
- 3.16 The following SDC1 SOP schemes will be taken forward as part of the NPR programme (SDC2 Reference Case) before 2027:
- Middlesbrough Station
 - Darlington Station Growth Hub
 - Capacity improvements at Darlington
 - Chester Station – Passenger & track capacity enhancements
 - Improvements to the Northern Loop from Sheffield station to HS2, including new stations in South Yorkshire
 - Doncaster Station – Reducing conflicts

- 3.17 The following SDC1 SOP schemes will be taken forward as part of rail franchise commitments (SDC2 Reference Case) before 2027:
- Phase 1 – short term: Leeds City Region programme of capacity and capability works on the rail network, delivering improvements to support TRU, improve reliability and connectivity, and enable the provision of additional rail capacity to alleviate current overcrowding.
 - Crewe to Chester and Holyhead (service improvements)
 - Extension of North Staffordshire services to Nottingham
- 3.18 The following SDC1 SOP schemes will be taken forward as part of the NPR programme (SDC2 Reference Case) post 2027:
- Stockport Station (later phases) - noting that existing franchise commitments require early interventions to increase capacity at the Station pre-2027. And that TfN Board has advised that Stockport Station be designated a Congested Infrastructure priority intervention
 - Warrington Bank Quay station (or integrated station at Warrington)
 - York to Newcastle
 - Northallerton - Newcastle capacity enhancements and timetable resilience
 - Bradford to Leeds (journey time improvements)
- 3.19 The following SDC1 SOP schemes will be taken forward as part of the Midlands Engine Rail programme (SDC2 Reference Case) post 2027:
- Crewe – Stoke – Derby (journey time improvements)

Government's response to the Oakervee Review of HS2

- 3.20 After careful consideration of the independent Oakervee review, Government has confirmed its commitment to proceed with HS2. As well as committing to deliver HS2, Government remains strongly committed to Northern Powerhouse Rail, improving connectivity between northern cities as well as between London, the Midlands and the north.
- 3.21 The government agrees with the Oakerview Review that concluded that Phase 2b needs to be considered as part of an Integrated Rail Plan, for the north and Midlands, under the banner of "High Speed North", which also includes Northern Powerhouse Rail, Midlands Rail Hub, and other major Network Rail schemes to ensure these are scoped, designed, delivered, and can be operated as an integrated network.
- 3.22 The Integrated Rail Plan is scheduled to be published by the end of 2020.

4 SDC1 SOP Schemes Removed from the Investment Programme

4.1 The following SDC1 SOP schemes have been removed from the Investment Programme, from a pan-northern perspective, based on an assessment of the most up-to-date evidence:

- A68 and A7 SRN (cross-border)
- A19 Gap Closures between Sunderland and Tees Valley
- A19 / A168 Gap Closures
- A59 improvements (Preston to Harrogate)
- A671 improvements (M65 to A59)
- A59 Harrogate to York improvements
- Crewe to Manchester Airport (Southern Link)
- New Humberside Airport station between Barnetby and Habrough
- Port of Workington to A66 connectivity improvements
- Ponteland Relief Road
- Durham Northern Relief Road
- Durham Western Relief Road
- M62 Junction 34a
- Stoke park and ride
- Northwich and Winsford transport improvements package (specifically the local transport elements – strategic schemes listed in each package are picked up separately in the Investment Programme)
- Development of the Metrolink network on heavy rail lines within and surrounding Greater Manchester - as a generic programme of interventions. Individual interventions will be considered on their merits, from a pan-northern perspective
- M1 Junction 47
- A63 East of Leeds
- Regular 1tph from Barnsley to Doncaster via Meadowhall
- Greater Manchester New Eastern Gateway rail station
- Chat Moss park and ride

4.2 In order to avoid the risk of the double counting of costs, the following named interventions have been removed from the programme from a housekeeping perspective:

- M62 Junctions 7 and 8 improvements – captured under “M62 Junction 5 to 10 Improvements”
- East Lancashire Line (journey time and capacity improvements) – captured under “Preston to York via Calder Valley”
- Colne to Accrington (journey time and service improvements) – captured under “Skipton - Colne - Gannow Junction” and “Preston to York via Blackburn”
- Clitheroe to Blackburn increased frequency to 2tph – captured under “Clitheroe to Manchester Victoria via Blackburn and Bolton”
- Improved or new routes connecting A650 and Keighley – captured under “New/upgraded route between A629/A650 and the A1(M)/M1”

5 Qualitative Investment Strategies

5.1 The following qualitative investment strategies beyond 2027 are additional to the major transformational (Reference case) interventions for example HS2, Northern Powerhouse Rail, Manchester North West Quadrant and Trans-Pennine Tunnel.

SDC2 SOP Qualitative sequencing 'Fixed Window' Schemes - 2027-2033 (S1-S3)

5.2 The following SOP 'fixed window' schemes have been assessed with the potential of being deliverable between 2027 and 2033 under all three investment strategies (S1-S3):

Ensure that the West Coast Main Line stations are ready for HS2 and Northern Powerhouse Rail

- Wigan North Western station (or integrated station at Wigan)

Ensuring the North is ready for HS2 to maximise the benefits of this nationally significant project

- York to Scarborough (journey time improvements)
- Service frequency enhancements between Ormskirk and Preston
- Access improvements to Crewe HS2 Hub

Enhance North-South strategic connections across the North to support UK competitiveness

- Doncaster-Leeds - journey time & capacity improvements
- M1 Junction 35A to 39 Sheffield to Wakefield Extra Capacity
- A1 Doncaster-Darrington
- A19 North of Newcastle Junctions (Part) comprising; A19/A1 Seaton Burn Junction Improvements; A19 /A189 Moor Farm; A19/A1056 Killingworth; and A19/A193 Howdon Interchange

Enhance East-West strategic connections across the North to support UK competitiveness

- Skipton - Colne - Gannow Junction (journey time and service improvements)
- Preston to York via Blackburn (journey time improvements)
- M65 Junctions 2 to 6
- A64 Hopgrove
- M1/M62 Lofthouse Interchange

Enhance access to the North's international gateways

- Light Rail Links to Terminal 2 at Manchester Airport
- A174 Greystones Roundabout Improvements
- Port of Tyne Connectivity
- Tees Dock Road Roundabout Improvements
- Eastern route access package to Liverpool John Lennon Airport and associated developments
- A63/A1033 junction
- Grimsby Western Relief Road

Ensure that the needs of Freight operators can be met

- Selby to Port of Hull gauge enhancements and journey time improvements

- Port Salford rail freight access
- East-West Transpennine W12 gauge cleared rail freight route

Improve connectivity and resilience to the Fylde Coast economic cluster

- Preston to Blackpool South (South Fylde Line) - journey time and capacity improvements

Improve capacity and resilience across Cumbria to connect with national energy infrastructure and economic clusters

- A66 Improvements (Scales/Troutbeck)
- Newby Bridge Flooding Alleviation
- A595 Whitehaven Relief Road, Bigrigg Bypass & Egremont Junctions

Improve connectivity and resilience to the North Tyne and North East economic clusters

- Sunderland Station and Sunderland Station track layout improvements
- Newcastle to Middlesbrough (Durham Coast Line) - route & Hartlepool station upgrade and service improvements
- Sunderland Strategic Transport Corridor (Phases 4 & 5)
- A1068 Fisher Lane

Improve connectivity and resilience to the Tees Valley City Region economic clusters, particularly the South Tees Development Corporation site

- Middlesbrough to York (journey time and service improvements)
- A66 Darlington to Teesport capacity improvements

Improve connectivity and resilience around the Humber economic clusters

- A15 junctions (A63 to M180)

Improve connectivity and resilience to the Liverpool City Region economic clusters

- A558 Daresbury Expressway improvements

Improve connectivity and resilience to the Cheshire, Warrington and the Potteries economic clusters

- Northwich to Sandbach rail re-opening and new stations
- Manchester to Chester via Knutsford (Mid-Cheshire Line) - journey time and capacity improvements
- Liverpool to Manchester via Warrington (Cheshire Lines Committee) - capacity and service improvements
- A550 Chester Box Route Enhancements
- Chester – Broughton growth corridor
- Middlewich southern and western link (including access to the M6 from Winsford)

Improve connectivity and resilience around the Greater Manchester City Region economic clusters

- Bus Rapid Transit Schemes connecting Wigan Borough and Salford City
- Northern Gateway access and capacity enhancements
- Manchester South East Junction Improvements
- M60/M67 Denton Island improvements

Improve connectivity and resilience around the Lancashire economic clusters

- Burnley to Manchester (journey time and service improvements)

Improve connectivity and resilience to the Leeds City Region economic clusters

- Leeds North West Quadrant improvements
- M1 Leeds Eastern Gateway
- South East Bradford Link Road
- Shipley Eastern Relief Road
- A638 improvements – Dewsbury to the A1(M)

Improve connectivity and resilience to the Sheffield City Region economic clusters

- Leeds to Sheffield via Barnsley (Hallam Line) - journey time improvements
- Journey time and capacity improvements between Cleethorpes and Doncaster to increase links between Northern Lincolnshire and the Sheffield City Region and the North West

Facilitating the delivery of housing and employment growth

- Skelmersdale Rail Link
- New & Upgraded Stations in the Mersey Dee area (Shotton, Deeside Park, Broughton)

SDC2 SOP Qualitative sequencing 'Fixed Window' Schemes – Beyond 2033 (S1-S3)

5.3 The following SOP 'fixed window' schemes have been assessed with the expectation that they will be considered as part of a future post 2033 pipeline of schemes, under all three investment strategies (S1-S3). In consultation with Partners, this has been based on an assessment of need, interdependencies with other projects/schemes, deliverability and affordability within the context of a comprehensive pan-northern programme of transport schemes:

Ensuring the North is ready for HS2 to maximise the benefits of this nationally significant project

- Southport to Wigan (journey time improvements)

Enhance North-South strategic connections across the North to support UK competitiveness

- East Coast Main Line (journey time and reliability improvements) - Doncaster to York
- Crewe to Preston additional calls (additional path between Winsford and Preston)
- M6 Junctions 19 to 21A improvements
- A1 North of Ellingham to Edinburgh Dualling (cross-border)
- A1 dualling and capacity improvements in the North East (A1(M) Barton to Chester-le-Street widening)
- North East new strategic river crossing
- A19/B1404 Seaton Lane to A19/A183 Chester Road

Enhance East-West strategic connections across the North to support UK competitiveness

- Preston to Sheffield (journey time improvements)
- Liverpool to Preston via Wigan (journey time and service improvements)

- New Manchester Airport - Nottingham via Crewe and Derby limited stop service, increasing Crewe-Derby frequency from 1 to 2tph
- A689 M6 to Carlisle Lake District Airport capacity improvements and improved M6 connectivity
- A69-A696-A1 link to form a NW ring road of Newcastle via the airport
- A66 to A1 New Link and Junction north of Scotch Corner
- M65 improvements
- New/upgraded route between A629/A650 and the A1(M)/M1
- A64 Technology Improvements - A1(M) Bramham to A1237 Hopgrove
- A64 Crambeck to Scarborough improvements
- A1079 York to Hull improvements
- A1 to A19 link
- A19 to M18 link
- A1 to M1 link, comprising A1 to HS2 link from Redhouse and M1 to HS2 link
- M1 to M18 link
- M18 Junctions 2 to 5 (and online improvements to M18 Junction 2)

Enhance access to the North's international gateways

- Windermere and Barrow to Manchester Airport (frequency and journey time improvements)
- A556 Corridor Improvements
- A63 Relief Route
- A63 technology improvements
- A180
- M18 Junction 4 connection to Doncaster Sheffield Airport

Ensure that the needs of Freight operators can be met

- North East rail freight enhancements (passing loops and port connections)

Improve connectivity and resilience to the Fylde Coast economic cluster

- A585 corridor improvements (M55 to Fleetwood)
- New Ribble Crossing

Improve capacity and resilience across Cumbria to connect with national energy infrastructure and economic clusters

- Windermere to West Yorkshire (service improvements)
- A590 South Cumbria (dualling and wider capacity, journey time and resilience improvements)
- A590 Ulverston bypass

Improve connectivity and resilience to the North Tyne and North East economic clusters

- Reinstatement of passenger services on Stillington Line (Stockton – Ferryhill)

Improve connectivity and resilience to the Liverpool City Region economic clusters

- A580 Dual Carriageway and Some Grade Separation
- M57 improvements

Improve connectivity and resilience to the Cheshire, Warrington and the Potteries economic clusters

- Birchwood park and ride

- A500 dual carriageway with grade separated junctions
- A34 (potential expressway)
- Nantwich Southern Relief Road

Improve connectivity and resilience around the Greater Manchester City Region economic clusters

- Heavy rail capacity and journey time improvements in the South Manchester area and on the Wilmslow and Buxton lines
- M62-Carrington-M60 link
- A6 Disley and High Lane bypass
- M6 Junction 25 slip roads

Improve connectivity and resilience around the Lancashire economic clusters

- Rossendale to Manchester public transport connectivity
- Clitheroe to Manchester Victoria via Blackburn and Bolton (journey time and service improvements)
- A59 corridor improvements (Liverpool to Preston)
- M58 & M6 Interchange
- A56 corridor improvements (M65 to M66)

Improve connectivity and resilience to the Leeds City Region economic clusters

- Phase 3 – long term: Leeds City Region additional works improving the capacity of the network to enable forecast growth, and realising the introduction of HS2 and NPR, enabling their benefits to be spread and maximised

Improve connectivity and resilience to the Sheffield City Region economic clusters

- Rotherham to Leeds (frequency improvements)
- M1 Junction 37a

Enhance cross border movements into North Wales and the Midlands to support economic growth and UK competitiveness

- Sheffield – Nottingham (journey time improvements)
- A534 route upgrade
- A51 Improvements (Nantwich to Chester – potential expressway)
- A54 Corridor Improvements (M6 to Chester)
- A15 improvements (M180 to A46 Lincoln Bypass)
- A1 improvements (south of Blyth)

SDC2 SOP Qualitative sequencing 'Edge' Schemes – 2027-2033 (S1, additional to S3 BAU)

- 5.4 The following SOP 'edge' schemes have been assessed with the potential of being deliverable and necessary between 2027 and 2033 under S1, in addition to those listed in S3 (BAU), with more funding under a more rail-focussed investment strategy. In consultation with Partners, this is based on a more ambitious programme, with higher levels of funding and political support for accelerating development of schemes so they are ready for delivery between 2027-2033:

Enhance East-West strategic connections across the North to support UK competitiveness

- Newcastle to Carlisle (Tyne Valley Line) - route upgrade and journey time improvements

- York to Hull (service improvements)
- New/upgraded route around the North of Barnsley and Doncaster Districts or along the A6195/ A635 corridor

Enhance access to the North's international gateways

- Fixed infrastructure links to Liverpool John Lennon Airport
- Knutsford to Manchester Airport (Western Link)
- Rail connection and station for Doncaster Sheffield Airport (DSA)
- East Coast Main Line spur to Newcastle Airport

Ensure that the needs of Freight operators can be met

- Parkside enhanced freight connectivity
- West Coast Main Line freight capacity enhancements

Improve connectivity and resilience to the Fylde Coast economic cluster

- Enhanced public transport links to Fleetwood
- Journey time improvements Preston - Blackpool North

Improve capacity and resilience across Cumbria to connect with national energy infrastructure and economic clusters

- Barrow-in-Furness to Lancaster (Furness Line) - journey time and reliability improvements

Improve connectivity and resilience to the North Tyne and North East economic clusters

- Rail/ Metro integration improvements within Tyne and Wear to include routes, stations and timetabling
- South of Tyne rail-based Park-and-Ride at Follingsby

Improve connectivity and resilience to the Tees Valley City Region economic clusters, particularly the South Tees Development Corporation site

- Bishop Auckland to Saltburn, via Darlington and Middlesbrough (Bishop and Saltburn Lines) – service frequency and journey time improvements

Improve connectivity and resilience around the Humber economic clusters

- Hull to Scarborough (journey time and frequency improvements)

Improve connectivity and resilience to the Liverpool City Region economic clusters

- Extend Merseyrail City Line services to Liverpool Central via Wapping Tunnel re-opening

Improve connectivity and resilience to the Cheshire, Warrington and the Potteries economic clusters

- Chester – Warrington Bank Quay (journey time improvements)

Improve connectivity and resilience around the Lancashire economic clusters

- Lancaster - Morecambe additional services

Improve connectivity and resilience to the Leeds City Region economic clusters

- Phase 2 – medium term: Leeds City Region further programme of works delivering capacity to enable forecast growth, as well as reliability improvements, and supporting the introduction of HS2 & NPR

Improve connectivity and resilience to the Sheffield City Region economic clusters

- Sheffield to Lincoln (journey time, frequency and capacity improvements)
- Huddersfield to Sheffield (Penistone Line) - journey time, frequency and capacity improvements

**SDC2 SOP Qualitative sequencing 'Edge' Schemes – 2027-2033
(S2, additional to S3 BAU)**

5.5 The following SOP 'edge' schemes have been assessed with the potential of being deliverable and necessary between 2027 and 2033 under S2, in addition to those listed in S3 (BAU), with more funding under a more road-focussed investment strategy. In consultation with Partners, this is based on a more ambitious programme, with higher levels of funding and political support for accelerating development of schemes so they are ready for delivery between 2027-2033:

Enhance North-South strategic connections across the North to support UK competitiveness

- M6 Junctions 16 to 19 corridor improvements
- M6 Junction 26 to 32 Improvements
- A194(M) Whitemare Pool Junction Improvements
- A19 North of Newcastle Junctions (Part) comprising: A19 junction and on-line improvements between Killingworth interchange and Coast Road/Silverlink interchange

Enhance East-West strategic connections across the North to support UK competitiveness

- A69 De-Trunking / A689 Trunking to improve the route function
- A69 route improvement, climbing lanes and targeted junction improvements (including the B6351 Hexham west junction)
- M62 Junctions 5 to 10
- New/upgraded route between the M65 and Skipton/A629/A650
- M62 Junction 32 to 30 westbound
- New/upgraded route around the North of Barnsley and Doncaster Districts or along the A6195/ A635 corridor

Enhance access to the North's international gateways

- Fixed infrastructure links to Liverpool John Lennon Airport
- M57 Junctions 4 and 5
- Switch Island (M57/M58/A5036)

Ensure that the needs of Freight operators can be met

- West Coast Main Line freight capacity enhancements

Improve connectivity and resilience to the North Tyne and North East economic clusters

- Rail/ Metro integration improvements within Tyne and Wear to include routes, stations and timetabling

Improve connectivity and resilience around the Humber economic clusters

- A164 dualling (A63 to B1232)

Improve connectivity and resilience to the Cheshire, Warrington and the Potteries economic clusters

- M56 Chester Box Improvements

Improve connectivity and resilience around the Greater Manchester City Region economic clusters

- M66 Improvements
- M60/M56 interchange improvements
- A663 Broadway / M60 Junctions 21 Upgrade

Improve connectivity and resilience around the Lancashire economic clusters

- Lancaster - Morecambe additional services

Improve connectivity and resilience to the Leeds City Region economic clusters

- M1 Online Improvements Junction 43 to Hook Moor
- M62 Junction 24a
- North Kirklees Orbital Route
- A638 improvements – Wakefield to the A1(M)

Improve connectivity and resilience to the Sheffield City Region economic clusters

- A61 Corridor Improvements
- A57 South Anston bypass

Worked Examples

5.6 The following four worked examples, illustrate application of the qualitative sequencing process:

Example 1: Preston to York via Blackburn (journey time improvements) 2027-2033 (S1-S3)
<ul style="list-style-type: none"> • Line speed improvements may involve: <ul style="list-style-type: none"> ○ 70mph sections west of Rose Grove upgraded to 100mph ○ 45mph sections between Rose Grove and Hall Royd Junction (Todmorden) upgraded to 60mph ○ 60mph or 70mph sections between Hall Royd Junction and Sowerby Bridge upgraded to 100mph ○ Elimination of lower speeds applying over level crossings on upgraded sections.
<ul style="list-style-type: none"> • East – west connectivity across the Central Pennines is particularly constrained, with low average speeds and frequencies on key routes providing poor connectivity between East Lancashire and West & North Yorkshire. Infrastructure capacity can be heavily utilised by the mix of traffic and stopping patterns which can present a barrier to service improvement.
<ul style="list-style-type: none"> • End to end direct connectivity is provided by the hourly service between Blackpool North and York. The service operates via the East Lancashire line (main 'Roses Line' section) and the Calder Valley, and serves many key intermediate flows (including East Lancashire to West Yorkshire centres). The service is relatively slow (36mph on average based on the rail mileage), and similar journey times can be achieved via interchange at Manchester. This

<p>make rail a less attractive mode of travel, particularly for business to business trips and for commuting flows between East Lancashire and West Yorkshire.</p>
<ul style="list-style-type: none"> • Preston - Blackburn - Leeds is one of TfN Strategic Rail's five Rail Journey Time 'potential early win routes'. Funding for this work has been agreed by DfT at Rail North Programme Board. • The scheme is expected to attract strong support - poor east-west connectivity by rail (and road) between East Lancashire and West & North Yorkshire is a long-standing key issue⁴, irrespective of whether Colne-Skipton goes ahead.
<ul style="list-style-type: none"> • The scheme has been assessed as being constructible and viable before 2037 with marginal risk, with mitigation possible within usual structures.
<ul style="list-style-type: none"> • In terms of significant external influences – limited interfaces are identified, with third parties likely to endorse proposals. No statutory planning is expected at this stage.
<ul style="list-style-type: none"> • The scheme is estimated to be a medium cost range intervention (£50 million to £250 million).
<ul style="list-style-type: none"> • The service may benefit from journey time enhancements on the Calder Valley Line – set out in Network Rail’s Enhancements Delivery Plan.

<p>Example 2: Extend Merseyrail City Line services to Liverpool Central via Wapping Tunnel re-opening 2027-2033 (S1), Beyond 2033 (S2 & S3)</p>
<ul style="list-style-type: none"> • Wapping Tunnel re-opening
<ul style="list-style-type: none"> • A direct connection between the Northern and City Lines within central Liverpool has long been identified as a means of developing cross city connectivity and increasing capacity at the city’s main rail termini of Central and Lime Street. Liverpool Central is Liverpool's busiest rail station - currently serving more than 15 million passengers per year it suffers from serious overcrowding and hotspots at peak times, particularly on the Northern Line island platforms, such as at the bottom of the escalator from the concourse. At the same time, two thirds of services that serve the Northern Line platforms terminate at Central from the north and are then required to layover to regulate the timetable, and then to reverse out of the platforms in the direction that they arrived.
<ul style="list-style-type: none"> • Wapping Tunnel has the potential to help to resolve both of these issues by providing additional destinations for southbound trains beyond Liverpool Central, allowing a proportion to extend to Edge Hill and beyond. This has the effect of reducing the dwell time of trains at Liverpool Central, reducing in turn the amount of time that passengers dwell in the platform vicinity.

⁴ <http://council.lancashire.gov.uk/documents/s109483/Central%20Trans-Pennine%20Corridor%20East%20West%20Connectivity%20Study.pdf>

- Liverpool Lime Street is currently undergoing a remodelling that will expand the number of platforms from nine to 10. This solution, while addressing the immediate issues through to 2026, does not address the longer-term issues. The Wapping Tunnel scheme has the potential to divert a proportion of the local services on the City Line (which currently terminate at Lime Street) to Liverpool Central, extending these to Northern Line destinations. If 4-8 trains per hour were diverted away from Lime Street via Wapping Tunnel, this would provide significant opportunity for the station to become a dedicated inter-city and inter-regional hub for the City Region. The scheme would therefore be complementary to plans for High Speed North and Liverpool Lime Street as major hub where intervention is required to realise the benefits of improved connectivity of these national infrastructure schemes.
- The scheme is expected to attract strong support both through the Liverpool City Region Long Term Rail Strategy and the Liverpool Knowledge Quarter Transport Vision⁵.
- The 2016 City Line to Northern Line Connection Feasibility Study⁶ did not identify any reason why the scheme could not be developed further. In particular, the civil engineering aspect of reusing the existing Wapping Tunnel, Cavendish Cutting and new link tunnel(s) to connect to the Northern Line were considered to be feasible. The scheme has been assessed as being constructible and viable before 2037 recognising there are some significant risks, with mitigation possible.
- There is a high likelihood of conflict & need for negotiation alongside statutory planning.
- The scheme is estimated to be a high cost range intervention (£250 million to £1 billion).
- Scheme would increase the demand at Liverpool Central. Merseytravel is undertaking a development review that will address the capacity constraints at Liverpool Central - potential solutions include: new station required at an alternative location; expansion of the current station which could be a widening of the current platform or the introduction of a new platform; and expansion of the concourse area

Example 3: New/upgraded route between the M65 and Skipton/A629/A650 2027-2033 (S2), Beyond 2033 (S1 & S3)

- Provision of a new link road between the M65 and A629/ A650 Airedale corridor to a dual 2-lane high standard route.

⁵ https://www.kqliverpool.co.uk/wp-content/uploads/2017/10/7203_KQ_Transport_Vision-AW_WEB.pdf

⁶ <https://merseytravel.s3.amazonaws.com/Content/Freedom%20of%20Information/Disclosure%20Log/2017/December/RSN16726---EIR-Request---Wapping-Tunnel-Feasibility-Study.pdf>

- The abrupt termination of the M65 at Colne inhibits east-west trans-Pennine connectivity. There is no continuous dual carriageway route from East Lancashire into West Yorkshire. Average inter-urban speeds between important economic centres are low, typically less than 30 mph during peak periods, and below 40 mph during inter peak periods in the Corridor.
- Generally speaking, in Pan-Northern terms local policy recognises the benefits of well-developed north-south transport corridors, principally through the West & East Coast Main Lines and M1 & M6 motorways, but highlights that long term under investment in east-west connectivity has the potential to stifle growth in the economy of many of the LEP regions in the Central Pennines corridor.
- The STP highlights that:

"East-West road connectivity is a significant barrier for future growth in the North, and a key constraint to agglomeration and transforming the North's economy. Currently the M62 is the only motorway standard East-West road link across the Pennines between Derby in the Midlands and Edinburgh in Scotland.

Addressing East-West connectivity is a priority for TfN, and a failure to address current connectivity constraints would critically restrict the transformational growth potential of this [Central Pennines] corridor and the wider Northern economy."
- Building on the SDC1 Central Pennines study & SPOC, Highways England's Road Investment Strategy 2: 2020-2025 identifies Central Pennines (M6 to A1(M)) as one of three new strategic studies⁷. An early feasibility report is due to be released in May 2020.
- The scheme is expected to attract strong support. As part of the SDC1 stakeholder engagement process East-west connectivity on road & rail was highlighted as a big issue for businesses, hampered by restricted capacity and congestion;

"journey times, reliability and capacity are all problems that compound challenges to travel across the region, not just on major routes or in / out of the big cities". Requiring, for example, *"improvements to M6/Preston to East Lancs. and East Lancs. to Leeds/ Bradford and the A1(M)".*
- It is the physical challenge of the Pennines which is regarded as the key barrier to east-west connectivity – although slight by European standards the topography of the Pennines remains a formidable barrier to movement. This presents some significant technical challenges to delivering a practicable and economically viable solution that minimises its impact on the natural environment. The 'emerging preferred concept' includes proposals to bypass Colne, Foulridge, Kelbrook and Earby - the feasibility for which were considered as part of a Lancashire County Council M65 to Yorkshire Study⁸.

⁷https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/871978/road-investment-strategy-2-2020-2025.pdf

⁸ <https://www.lancashire.gov.uk/media/252030/M65-to-Yorkshire-Stage-3-Report.pdf>

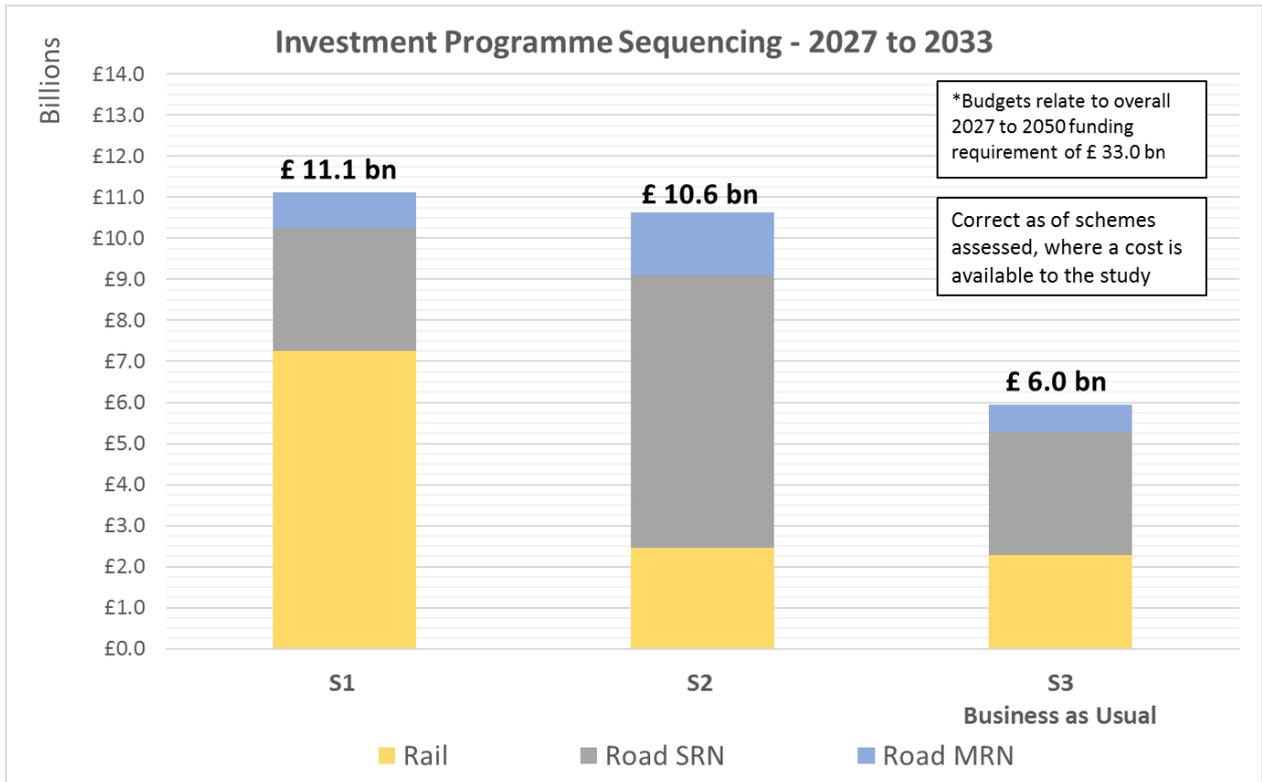
<p>The scheme has been assessed as being constructible and viable before 2037 recognising there are some significant risks, with mitigation possible.</p>
<ul style="list-style-type: none"> In terms of significant external influences – any solution will involve significant and complex interfaces across multiple third-party partners and organisations. A lengthy scheme development and planning process may be expected. There is a high likelihood of conflict & need for negotiation alongside statutory planning.
<ul style="list-style-type: none"> The scheme is estimated to be a high cost range intervention (£250 million to £1 billion).
<ul style="list-style-type: none"> The scheme has technical dependencies with proposals to reopen the railway line from Colne to Skipton.

<p>Example4: North East New Strategic River Crossing Beyond 2033 (S1-S3)</p>
<ul style="list-style-type: none"> New River Tyne Crossing - east of the Tyne Bridge
<ul style="list-style-type: none"> On the River Tyne, most crossing points are currently congested, with the Tyne Tunnel operating above capacity. The growth in usage of the Tyne Tunnel demonstrates that, subject to additional capacity being created, increased flows are realised year on year. Current issues primarily pertaining to congestion and limited capacity, as well as resilience and reliability, will be compounded in future, particularly if economic growth aspirations are to be realised.
<ul style="list-style-type: none"> The scheme is intended to improve strategic connectivity within the North East, and the North of England more broadly, contributing to higher productivity. Business user benefits would be delivered through a reduction in journey times, delivering direct productivity benefits to the dense concentration of firms located within Tyne-and-Wear. Greater 'effective density' within this dense urban area will also support significant agglomeration benefits.
<ul style="list-style-type: none"> Significant further work is required to define the location and form of a new strategic river crossing. Assumptions around the alignment being east of Tyne Bridge should be retained. There has been limited progress on option identification but this is expected to accelerate as the North East Combined Authority develop its regional transport plan and interventions plan. At this stage it is not possible to determine whether the intervention is constructible and viable before 2037.
<ul style="list-style-type: none"> For the same reasons it is not possible to determine the extent of external influences and interfaces. It is reasonable, however, to assume that these interfaces will be significant and complex interfaces with a high likelihood of conflict and need for negotiation, alongside statutory planning.
<ul style="list-style-type: none"> Any cost estimate is naturally highly uncertain at this stage but may assumed to be in a medium / high cost range (up to 1 billion).
<ul style="list-style-type: none"> Scheme has no technical dependencies

Investment Programme Sequencing Summary

5.7 The overall SDC2 SOP to 2050 is estimated to be circa £33.0 billion, or c.£1.4 billion per annum, which assuming an evenly distributed level of spend would equate to c.£8.6 billion for the period 2027-2033. This compares to an estimate range of £18-£ 20 billion on Reference Case schemes over the same period, principally on High Speed North.

5.8 The level of SDC2 SOP funding required for each of the three investment strategies, split by rail, Road SRN, Road MRN is presented below:



5.9 Important points to note:

- Excludes costs for some schemes where estimates are yet to be determined due to limited detail on scope – these are mainly schemes later in the programme (beyond 2033). The majority are rail schemes e.g. East-West Transpennine W12 gauge cleared rail freight route. TfN Board preference is an enhanced W12 gauge cleared Transpennine Route Upgrade (SDC2 Reference Case) alongside W12 gauged cleared port connections. Current TRU plans provide an interim W8a solution for the critical Stalybridge - Huddersfield section. Network Rail is looking to progress a Continuous Modular Strategic Planning (CMSP) study for the TransPennine Freight market in due course.
- Notional budget allowances have been made for RIS3 pipeline / Route Strategy schemes that were not previously considered / costed through SDC1 e.g. A1 Doncaster-Darrington - cost estimates for these schemes have been requested from Highways England.
- Cost rates assume high quality sustainable principles are imbedded in the sequenced investment programme, in line with TfN’s STP policy position and Corporate Plan including

- High quality environmental mitigation to deliver a net gain in biodiversity where possible,
- Fully integrate non-motorised user facilities wherever possible, to encourage active travel and better health outcomes
- To support carbon reduction fully integrate the latest infrastructure to accelerate the transition of the vehicle fleet towards ultra-low emission types
- Developing designs which are future-proofed for integration with emerging technologies
- Alongside the Road and Rail Programme, policy interventions will be crucial to delivering TfN's overall vision. These can support the delivery of key aims including decarbonisation and innovation as well as impact on which future scenarios are most likely to come forward. Policy measures could include:
 - Expand digital signalling on the rail network
 - Increase efficiency of the road network through use of technology e.g. Connected & Autonomous vehicles
 - Use of data / technology to improve management of freight demand on the rail network
 - Improved integration across travel modes e.g. through smartcard / mobile technologies
 - Low emission & clean air zones
 - New pricing models for road and public transport
- **Reminder – the SDC2 SOP qualitative sequenced programmes are in addition to the SDC2 Reference Case schemes.**

6 Assessment Outputs & Next Steps

- 6.1 This phase of work has developed three sequenced investment programmes:
- Based on three distinct investment strategies both in both the level of ambition in levelling the economy and approach to a decarbonisation pathway.
 - Focused on an assessment of need and deliverability between 2027-33.
 - Geographically inclusive.
 - Co-produced with and agreed by over 30 Partners representatives from all of TfN's partner Transport Authorities.
 - Detailed discussion, review and input from Highways England and Network Rail
 - For testing in the quantitative sequencing benefits analysis, the application of the Analytical Framework
- 6.2 In terms of next steps, we will:
- Share with the Strategic Oversight Group and seek final endorsement on 28th April 2020;
 - Present to TfN Partnership Board in summer 2020;
 - Through the quantitative sequencing benefits analysis, assess and refine the three sequenced delivery programmes against the four future scenarios – this provides agility and resilience;
 - Identify the programmes benefit realisation for social, economic, and environmental outcomes – this provides the transformational return on investment; and
 - Through the development of a single SDC2 SPOC for North provide TfN Board with a strong evidence base to support decision making on future investment and policy decisions.
- 6.3 In longer term the Investment Programmed will be periodically reviewed and updated through the Assurance Framework process.

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242 : Skelmersdale Rail Link		SEQUENCING DECISIONS SUMMARY	
Outcome:	Facilitating the delivery of housing growth	Business as Usual Tier 1A:	
Investment Programme:	Table 3	Business as Usual Tier 1B:	
SDC Corridors(s):	Central Pennines	Business as Usual Tier 1C:	2027 to 2033
Short Description:	New rail link and town centre station connecting Skelmersdale to Liverpool and Manchester, as well as the national rail network.	Strategy 1 :	2027 to 2033
		Strategy 2 :	2027 to 2033
Economic Narrative Place typology:	Large Conurbations, Other Urban		
Economic Narrative Intervention typology:	Reductions in generalised journey time, including additional frequency and capacity and/or improved resilience and reliability, (Improved access to key development sites as secondary)		

STEP 1A) SCHEME DEVELOPMENT UPDATE

Completion Error Check : OK

A	Has the scheme been prioritised for early delivery since the completion of the original SDC SPOC / Investment Programme preparatory work?	No	STEP 1A DECISION: Likely Post 2027 - Proceed to Tier One Sequencing
B	Was the scheme listed as a NPR scheme within Investment Programme Table 4?	No	
C	Has a SOBC been produced since the completion of the original SDC SPOC / Investment Programme work?	No	

Justification:
 Move to Table 4.
 Lancashire County Council's Cabinet has agreed (May 2019) to commission a strategic outline business case for the further development of a Skelmersdale rail link. This is the latest stage of the detailed process needed to bring a new railway line and station to the town. The business case will provide a detailed evaluation of the proposed scheme, looking at the viability of the proposals, cost estimates and possible timescales.

STEP 1B) TIER ONE ASSESSMENT

ST1	Does the intervention align with the STP vision and objectives?	Strong positive contribution towards STP Vision and Objectives	At OAR identified as Core SOP Intervention: An intervention that has the potential to support transformation improvement, measured against the four Strategic Plan objectives, in its own right. At SPOC identified as an intervention that has a strong strategic case and is supported by the NTEM model outputs
ST2	To what extent is there a risk that the intervention could act in opposition to any of the applicable STP policy positions?	No risk / likelihood of acting in opposition to or in contradiction to STP policy position(s)	Strong alignment with STP and local policy positions
EC1	Does the intervention help support higher productivity, greater local and /or a more balanced northern economy, and greater net employment within the North?	Strong positive contribution towards Desired Outcomes	Based on consideration of EC2 - EC4 below.
SU1	Would delivering the scheme before 2033 support TfN and Government commitments for decarbonisation of transport?	Significant reduction in the net carbon impact of transport	Skelmersdale is the second largest town in the North West without a railway station. A Jacobs study for LCC found that a new station at Skelmersdale could attract between 0.6m and 1.3m passengers per annum.
AC1	Is the intervention anticipated to attract transport user, business user and political support, based on the nature of the intervention?	Significant user, business or political support	Lancashire County Council's Cabinet has agreed (May 2019) to commission a SOBC for the further development of a Skelmersdale rail link. The scheme has strong public & political support e.g. Rosie Cooper (Labour MP for West Lancashire) has been campaigning for rail link since election in May 2005.
AC2	Is the level of disruption which may be caused by the construction of the scheme likely to be acceptable to customers?	Some disruption to customers, although impacts are expected to be able to be mitigated through working arrangements	
DL1	To what extent is the scheme proposal (in as much detail as is currently understood), constructible and viable before 2037?	Some significant external factors to mitigate to enable intervention to be constructible and delivered by 2037.	Network Rail was commissioned by Merseytravel, in partnership with the LCC, to undertake a GRIP 1- 2 technical feasibility study to identify a possible alignment for the rail link from the existing Wigan to Kirkby line into Skelmersdale town centre. Study completed in December 2014 and identified an alignment for the line as well as two potential new station locations. A further study was then commissioned from Network Rail to undertake a comparative assessment of the two potential new station locations. Study was completed in December 2016 and on 23 January, 2017, the Cabinet Member for Highways and Transport approved the proposal that the new station should be constructed on the former Glenburn High School and Westbank Campus site.
DL2	Are there significant external influences which could affect the viability or delay the scheme progressing (including DCO requirements) beyond a 2037 delivery date?	Many third-party interfaces, but with clear definition. Potential for conflict but expected to be manageable. Statutory planning likely	If the SOBC is looked on favourably and DfT agrees to progress the scheme LCC will have to consider how to properly justify and resource any further role as possible Promoter of a Development Consent Order and the challenges, cost and risks that would bring. Network Rail has indicated that it will support LCC with the management of the DCO but they have requested the plan for this is fully integral as a critical milestone within the overall delivery programme. Delays to the DCO will impact the delivery of the future works which is reliant on substantial land acquisition.
DE1	Is there any inter-relationship between this intervention and another scheme which may not be in place before 2037, where this intervention should only be delivered after another in completed, in order to achieve the best outcomes?	Scheme is dependent on the completion of at least one of scheme, which is considered more than likely to be completed by 2037	There is a requirement to undertake some further high level highways design and impact assessment work to complement the rail study.
DE2	Is there any inter-relationship between this intervention and another scheme which may not be in place before 2037, where this intervention can only be delivered after another in completed, due to the technical dependencies between schemes?	Scheme is not technically dependent on another scheme.	
STEP 1B DECISION:	Potentially Before 2037 - Proceed to Tier Two Sequencing		

242 : Skelmersdale Rail Link

STEP 1C) TIER TWO ASSESSMENT

ST3	Does the intervention address a significant current or future problem on the major transport network in terms of performance and/or resilience, which is expected to still exist in 2033 (with the Ref Case in place)?	Significant positive impact on current and/or future problems	Skelmersdale is the second largest town in the North West without a railway station; the nearest, at Up Holland, is not easily accessible without a car and only has hourly services to Kirkby and Wigan. This limits access to both Liverpool and Manchester, as bus travel times are slow and journeys indirect.
ST4	Does the intervention present opportunities to support local strategies to support growth which will be in place by 2033? (e.g. spatial and economic plans). How dependent are these on improved transport connections?	Strong fit with regionally and locally important strategies and plans, with dependent potential to unlock	The West Lancashire Highways and Transportation Master Plan identified that a new rail link into Skelmersdale town centre would potentially be a catalyst for commercial, retail and housing developments. It would also provide significantly improved public transport connectivity into the Greater Manchester and Liverpool City Regions providing enhanced links to employment and educational opportunities. The Skelmersdale Rail Link is supported by local plan strategies including the West Lancashire Borough Council Local Plan (2012-2027) Policy IF2, local plan review preferred options consultation, and Lancashire Strategic Economic Plan.
ST5	Does the intervention align with national infrastructure schemes and priorities, which are expected to be in place by 2033?	No/limited correlation with national schemes/ priorities	
ST6	Does the intervention support the movement of freight, international connectivity, UK trade and investment?	No/limited impact on the movement of freight, international connectivity, UK trade and investment	
ST7	Does the intervention present opportunities for investment to align with the development of new technologies which are expected to be in place by (or soon after) 2033 and/or complementary behaviour change programmes?	No/limited options for investment to align with the development of new technologies and/or BC programmes	
ST8	Does the intervention present opportunities to improve the resilience of the north's transport network?	Opportunity to improve transport resilience in a location where network disruption occurs regularly and/or has a disruptive impact	Scheme provides an rail alternative which would add resilience to the north's transport network
EC2	Does the intervention help support higher productivity, through reductions in the cost of travel for businesses and/or increased economic agglomeration?	Moderate impact	The scheme will improve public transport accessibility to/from the Liverpool City Region and Skelmersdale, a large town located within commuting distance, and is therefore expected to generate agglomeration benefits by improving the 'effective density' of the LCR. This will support productivity growth within the region.
EC3	Does the intervention help support greater local investment and/or a more balanced Northern economy?	Larger impact	The scheme is intended, in part, to improve the attractiveness of Skelmersdale for development by improving the towns' accessibility to the rail network, Liverpool and Manchester, therefore making it a more attractive place to live and encouraging investment in new housing. The scheme is closely linked with proposals for additional housing growth with Skelmersdale.
EC4	Does the intervention help support greater labour market participation, and/or greater net employment within the North?	Large impact	Skelmersdale is characterised by above-average levels of unemployment and labour market inactivity, and is relatively isolated from large employment centres, particularly for those who lack access to a car. The nearest station, Up Holland, is located on the periphery of the town and is difficult to access without a car. The scheme will directly link the town to employment opportunities within Liverpool (and potentially Manchester) City Centre, significantly improving access to employment for those out-of-work and helping to support higher aspirations for local residents, and hence increasing local labour market participation
SU2	Does the intervention have the potential to contribute towards improving conditions in areas where air quality is anticipated to be a significant concern in 2033?	Positive impact on air quality	Commentary on potential scope of air quality impact, in relation to local issues to be addressed (interpretation supported by SDC1 OAR mapped evidence)
SU3	Could the scheme contribute towards a more inclusive, and better integrated sustainable transport network, including enhancing the potential for multi-modal journeys and active travel?	Significant opportunities to enhance sustainable travel networks	At the heart of the West Lancashire Highways and Transport Masterplan is a new Skelmersdale rail link and town centre railway station, fully integrated with the bus network and easily accessible on foot or by cycle, and with sufficient car parking provision to function as a 'Parkway' station for the wider West Lancashire area. It is envisaged that Skelmersdale would act as a transport hub for surrounding smaller towns and villages, including Ormskirk, which does not have a direct rail service to Manchester.
SU4	Are there any potential environmental constraints identified which could stop the scheme being delivered before 2033?	Some potential environmental constraints identified. Should be mitigated within normal design processes	Inputs led by Costain from deliverability review Anticipated to be some environmental constraints in relation to the new rail link
AF1	What is the scale of the whole life capital and operating costs? (Low / Medium / High / Very High)	Medium	To enable a better understanding of overall project cost, as part of GRIP 3A process, Network Rail are to provide an Anticipated Financial Cost Estimate. This was initially due in March 2019. However the Office of Road and Rail requires additional consideration of the traction power options for the proposed line including a review of third rail, overhead power and battery options and so, as a result of this additional requirement, completion is now expected to be December 2019.
AF2	Is the scheme affordable during the period 2027-2033 when considered as an individual intervention?	National funding within normal limits	
DE3	How strong would the case for this intervention be, should one or more element of the Reference Case be delayed or not realised?	Scheme has very strong independent case and no technical reliance on a Ref Case scheme - so could be delivered regardless	Commentary based on understanding of inter-relationships based on SDC1 analysis, plus additional evidence from Costain Deliverability review.

STEP 1C
DECISION: 2027 to 2033

Justification:

STEP 3A) ALTERNATIVE STRATEGY TESTING - COMPLETE FOR ALL SCHEMES

Strategy 1 Initial Preferred Policy Strategy	DECISION:	
	2027 to 2033	
Strategy 2 Alternative Strategy	DECISION:	
	2027 to 2033	

Rail & Public Transport Schemes (Pre-2027 Reference Case)	Delivery Body
HS2 to Crewe & elements of HS2 to Manchester & Leeds	High Speed North
High speed rail hub at Crewe	High Speed North
Transpennine Route Upgrade intermediate interventions (Calder Valley and Leeds Station)	Network Rail
Phase 1 Leeds City Region programme of capacity and capability works on the rail network, delivering improvements to support TRU, improve reliability and connectivity, and enable the provision of additional rail capacity to alleviate current overcrowding	Network Rail
Cross Manchester Capacity & Reliability improvements	Network Rail
Transpennine Route Upgrade	Network Rail
Doncaster – Port of Immingham gauge enhancement	Network Rail
Horden Peterlee new station	Network Rail
Hope Valley Line (Manchester – Sheffield Corridor)	Network Rail
Improvements to the Northern Loop from Sheffield station to HS2, including new stations in South Yorkshire	Network Rail
Sheffield – East Coast Main Line (Electrification in Sheffield area)	Network Rail
Sheffield Supertram Renewals	Sheffield City Region
Northumberland Line	Network Rail
Newcastle Station platform lengthening	Network Rail
Northallerton – Teesport freight improvements	Network Rail
Middlesbrough Station	Network Rail
Electrification between Lostock Junction and Wigan North Western	Network Rail
Leeds Bradford Airport Parkway Station	Network Rail
Early phases of Northern Powerhouse Rail	TfN/Network Rail
Preston Station Improvements	Network Rail
Energy Coast Rail upgrade	Network Rail
Carlisle Station Improvements	Network Rail
Darlington Station Growth Hub	Network Rail
Capacity improvements at Darlington station	Network Rail
Chester Station – Passenger & track capacity enhancements	Network Rail
Stockport Station short term capacity enhancements (Allied to Greek Street bridge replacement)	Network Rail / Stockport
Liverpool Central Station	Network Rail
Port of Liverpool to West Coast Main Line enhancements	Network Rail
Wrexham – Bidston / Liverpool journey time improvements	Welsh Government / Network Rail
Harrogate Line Improvements	Network Rail
Doncaster Station – reducing conflicts	Network Rail
Crewe to Chester and Holyhead (service improvements)	Welsh Government / Network Rail
Extension of North Staffordshire services to Nottingham	Midlands Connect/ Network Rail
Cottam Parkway	Lancashire CC / Network Rail
Thorpe Park new station	WYCA/ Network Rail

Highway Schemes (Pre-2027 Reference Case)	Delivery Body
Schemes under construction	
A63 Castle Street	Highways England- RIS1
M621 J1-J7	Highways England- RIS1
A1 Scotswood to North Brunton	Highways England- RIS1
A19 Norton to Wynyard	Highways England- RIS1
A19 Testos	Highways England- RIS1
M6 Junction 19	Highways England- RIS1
Congleton Bypass (under construction)	Cheshire East
Poynton Relief Road	Cheshire East
Sunderland Strategic Transport Corridor Phase 3	Sunderland City Council
Port Salford Western Gateway Infrastructure Scheme	Salford City / Trafford Borough Councils
Schemes with committed funding	
A1 Birtley to Coal House	Highways England- RIS2
A1 Morpeth to Ellingham	Highways England- RIS2
A585 Windy Harbour to Skippool	Highways England- RIS2
A63 Castle Street (Inc. Footbridge)	Highways England- RIS2
Northern Trans-Pennine (A66)	Highways England- RIS2
M6 Junction 33 Link Roads	Highways England- RIS2
A5036 Port of Liverpool Access	Highways England- RIS2
A19 Down Hill Lane	Highways England- RIS2
Mottram Moor link road (Transpennine upgrade)	Highways England- RIS2
A57(T) to A57 link road (Transpennine upgrade)	Highways England- RIS2
A616/A61 Westwood roundabout (Transpennine upgrade)	Highways England- RIS2
M60/M62/M66 Simister Island	Highways England- RIS2
M56 J6-8 (Typo in 2019 report)	Highways England- RIS2
M62 J20-25	Highways England- RIS2
M6 J21A-26	Highways England- RIS2
A66/A596/Ramsay Brow Junction Improvements (Workington)	Highways England – developer funded
A1(M) Junction 47	Highways England – developer funded
A19 - A1018 improvement (Includes Sunderland CC) remodelling	Highways England – HIF proposal linked to development
Upgrade of A483 between Junction 3 and 6 - Chester Box	Welsh Government sponsored
A55 Northop to A494 Shotwick improvements	Welsh Government sponsored
A1079/A164 Jock's Lodge junction	East Riding
A1237 York Northern Outer Ring Road Phase 1	City of York
A500 Cheshire	Cheshire East
Carlisle Southern Relief Road	Cumbria County
Middlewich Eastern Bypass	Cheshire East
Durham Road (A690)/(A19) Junction Improvements	Durham County Council
Warrington West Relief Road	Warrington
Schemes in an MRN or LLM Programme	
Grizebeck Bypass	Cumbria County
Kex Gill	North Yorkshire (not Highways England)
Tees Crossing (could be a RIS scheme)	TVCA
Darlington Northern Link Road	TVCA
Sheffield Innovation Corridor	SCR
A1079 improvements at Wilberfoss	East Riding Council
A582 dualling (South Ribble Western Distributor)	Lancashire County Council
Tyne Bridge & Central M'way - NECA/NTCA	Newcastle City & Gateshead Council
A689 Wynyard	Stockton & Hartlepool Councils
A34 Cheadle – Handforth improvements	Stockport/TfGM
The Rocket	Liverpool City Council
Carlisle to Cockermouth capacity and reliability Improvements – A595 Bothel	Cumbria
Blyth Relief Road	Northumberland County Council
Sunderland STC phase 4	Sunderland Council
Shalesmoor Gateway	Sheffield City Council
Wigan East - West	Wigan / TfGM
Phase 1 Dawsons Corner Junction & Phase 2 Improvements Stanningley Bypass repairs and safety scheme	Leeds City Council
Kendal Northern link Road (LLM)	Cumbria County
Durham Northern Relief Road (under review by DCC)	Durham County Council
A650 Tong St	Bradford Council
A1237 York Northern Outer Ring Road Phase 2	City of York

Other highway schemes	
A1 to A1056 East Corridor (including A1 improvements and Rotary Way)	Highways England – LTA has identified developer funding. Scheme development work required.
Portrack Relief Road	TVCA – linked to Tees Crossing Scheme
A19 Grade Separated Junction, Elwick Bypass and Hartlepool Western Link	TVCA – Local funding package
Lincolnshire Lakes Road Infrastructure	North Lincolnshire – Developer funded
A494 River Dee Bridge Upgrade	Welsh Government sponsored
A6 to M60 Relief Road	Stockport / TfGM delivery plan (no funding identified)

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Delivery Period	S1	S2	S3 BAU
<p>Post 2027 Reference Case (Schemes in an existing programme e.g. NPR / TPT)</p>	<ul style="list-style-type: none"> • Leeds – Newcastle Corridor (major upgrade via East Coast Main Line to include provision for HS2 services running north to Scotland) • Sheffield – Leeds Corridor (connection to HS2) • Manchester Airport – Manchester Corridor (via HS2) • Liverpool – Manchester Airport Corridor (new line) • Manchester – Leeds Corridor (new line via Bradford) • Manchester – Sheffield Corridor (further interventions) • Interventions at the major hubs necessary to realise the benefits of improved connectivity along the corridors identified above, including Newcastle, York, Sheffield, Manchester Piccadilly, Liverpool Lime Street and Leeds • West Coast Main Line – Wigan and Preston to Scotland (journey time and capacity improvements) • Borders railway (supporting cross-border working with Transport Scotland and Borderlands Partnership) • Stockport station (later phases) • Warrington Bank Quay station (or integrated station at Warrington) • Lancaster station • Oxenholme station • Penrith station • Northallerton Station • Durham Station • York to Newcastle • Trans Pennine Tunnel • Northallerton - Newcastle capacity enhancements and timetable resilience • Crewe – Stoke – Derby (journey time improvements) • M60 Manchester North West Quadrant including M62 to A57 Junction and Link • Bradford to Leeds (journey time improvements) 	<ul style="list-style-type: none"> • Leeds – Newcastle Corridor (major upgrade via East Coast Main Line to include provision for HS2 services running north to Scotland) • Sheffield – Leeds Corridor (connection to HS2) • Manchester Airport – Manchester Corridor (via HS2) • Liverpool – Manchester Airport Corridor (new line) • Manchester – Leeds Corridor (new line via Bradford) • Manchester – Sheffield Corridor (further interventions) • Interventions at the major hubs necessary to realise the benefits of improved connectivity along the corridors identified above, including Newcastle, York, Sheffield, Manchester Piccadilly, Liverpool Lime Street and Leeds • West Coast Main Line – Wigan and Preston to Scotland (journey time and capacity improvements) • Borders railway (supporting cross-border working with Transport Scotland and Borderlands Partnership) • Stockport station (later phases) • Warrington Bank Quay station (or integrated station at Warrington) • Lancaster station • Oxenholme station • Penrith station • Northallerton Station • Durham Station • York to Newcastle • Trans Pennine Tunnel • Northallerton - Newcastle capacity enhancements and timetable resilience • Crewe – Stoke – Derby (journey time improvements) • M60 Manchester North West Quadrant including M62 to A57 Junction and Link • Bradford to Leeds (journey time improvements) 	<ul style="list-style-type: none"> • Leeds – Newcastle Corridor (major upgrade via East Coast Main Line to include provision for HS2 services running north to Scotland) • Sheffield – Leeds Corridor (connection to HS2) • Manchester Airport – Manchester Corridor (via HS2) • Liverpool – Manchester Airport Corridor (new line) • Manchester – Leeds Corridor (new line via Bradford) • Manchester – Sheffield Corridor (further interventions) • Interventions at the major hubs necessary to realise the benefits of improved connectivity along the corridors identified above, including Newcastle, York, Sheffield, Manchester Piccadilly, Liverpool Lime Street and Leeds • West Coast Main Line – Wigan and Preston to Scotland (journey time and capacity improvements) • Borders railway (supporting cross-border working with Transport Scotland and Borderlands Partnership) • Stockport station (later phases) • Warrington Bank Quay station (or integrated station at Warrington) • Lancaster station • Oxenholme station • Penrith station • Northallerton Station • Durham Station • York to Newcastle • Trans Pennine Tunnel • Northallerton - Newcastle capacity enhancements and timetable resilience • Crewe – Stoke – Derby (journey time improvements) • M60 Manchester North West Quadrant including M62 to A57 Junction and Link • Bradford to Leeds (journey time improvements)
<p>SOP 2027-2033 'Fixed Window' Schemes</p>	<ul style="list-style-type: none"> • Wigan North Western station (or integrated station at Wigan) • York to Scarborough (journey time improvements) • Service frequency enhancements between Ormskirk and Preston • Access improvements to Crewe HS2 Hub • Doncaster-Leeds - journey time & capacity improvements • M1 Junction 35A to 39 Sheffield to Wakefield Extra Capacity • A1 Doncaster-Darrington • A19 North of Newcastle Junctions (Part) comprising: A19/A1 Seaton Burn Junction Improvements; A19 /A189 Moor Farm; A19/A1056 Killingworth; and A19/A193 Howdon Interchange • Skipton - Colne - Gannow Junction (journey time and service improvements) • Preston to York via Blackburn (journey time improvements) • M65 Junctions 2 to 6 • A64 Hopgrove • M1/M62 Lofthouse Interchange • Light Rail Links to Terminal 2 at Manchester Airport 	<ul style="list-style-type: none"> • Wigan North Western station (or integrated station at Wigan) • York to Scarborough (journey time improvements) • Service frequency enhancements between Ormskirk and Preston • Access improvements to Crewe HS2 Hub • Doncaster-Leeds - journey time & capacity improvements • M1 Junction 35A to 39 Sheffield to Wakefield Extra Capacity • A1 Doncaster-Darrington • A19 North of Newcastle Junctions (Part) comprising: A19/A1 Seaton Burn Junction Improvements; A19 /A189 Moor Farm; A19/A1056 Killingworth; and A19/A193 Howdon Interchange • Skipton - Colne - Gannow Junction (journey time and service improvements) • Preston to York via Blackburn (journey time improvements) • M65 Junctions 2 to 6 • A64 Hopgrove • M1/M62 Lofthouse Interchange • Light Rail Links to Terminal 2 at Manchester Airport 	<ul style="list-style-type: none"> • Wigan North Western station (or integrated station at Wigan) • York to Scarborough (journey time improvements) • Service frequency enhancements between Ormskirk and Preston • Access improvements to Crewe HS2 Hub • Doncaster-Leeds - journey time & capacity improvements • M1 Junction 35A to 39 Sheffield to Wakefield Extra Capacity • A1 Doncaster-Darrington • A19 North of Newcastle Junctions (Part) comprising: A19/A1 Seaton Burn Junction Improvements; A19 /A189 Moor Farm; A19/A1056 Killingworth; and A19/A193 Howdon Interchange • Skipton - Colne - Gannow Junction (journey time and service improvements) • Preston to York via Blackburn (journey time improvements) • M65 Junctions 2 to 6 • A64 Hopgrove • M1/M62 Lofthouse Interchange • Light Rail Links to Terminal 2 at Manchester Airport

Delivery Period	S1	S2	S3 BAU
	<ul style="list-style-type: none"> • A174 Greyston21/04/20es Roundabout Improvements • Port of Tyne Connectivity • Tees Dock Road Roundabout Improvements • Eastern route access package to Liverpool John Lennon Airport and associated developments • A63/A1033 junction • Grimsby Western Relief Road • Selby to Port of Hull gauge enhancements and journey time improvements • Port Salford rail freight access • East-West Transpennine W12 gauge cleared rail freight route • Preston to Blackpool South (South Fylde Line) - journey time and capacity improvements • A66 Improvements (Scales/Troutbeck) • Newby Bridge Flooding Alleviation • A595 Whitehaven Relief Road, Bigrigg Bypass and Egremont Junctions • Sunderland Station and Sunderland Station track layout improvements • Newcastle to Middlesbrough (Durham Coast Line) – route & Hartlepool station upgrade and service improvements • Sunderland Strategic Transport Corridor (Phases 4 & 5) • A1068 Fisher Lane • Middlesbrough to York (journey time and service improvements) • A66 Darlington to Teesport capacity improvements • A15 junctions (A63 to M180) • A558 Daresbury Expressway improvements • Northwich to Sandbach rail re-opening and new stations • Manchester to Chester via Knutsford (Mid-Cheshire Line) - journey time and capacity improvements • Liverpool to Manchester via Warrington (Cheshire Lines Committee) - capacity and service improvements • A550 Chester Box Route Enhancements • Chester – Broughton growth corridor • Middlewich southern and western link (including access to the M6 from Winsford) • Bus Rapid Transit Schemes connecting Wigan Borough and Salford City • Northern Gateway access and capacity enhancements • Manchester South East Junction Improvements • M60/M67 Denton Island improvements • Burnley to Manchester (journey time and service improvements) • Leeds North West Quadrant improvements • M1 Leeds Eastern Gateway • South East Bradford Link Road • Shipley Eastern Relief Road • A638 improvements – Dewsbury to the A1(M) • Leeds to Sheffield via Barnsley (Hallam Line) - journey time improvements • Journey time and capacity improvements between Cleethorpes and Doncaster to increase links between Northern 	<ul style="list-style-type: none"> • A174 Greystones Roundabout Improvements • Port of Tyne Connectivity • Tees Dock Road Roundabout Improvements • Eastern route access package to Liverpool John Lennon Airport and associated developments • A63/A1033 junction • Grimsby Western Relief Road • Selby to Port of Hull gauge enhancements and journey time improvements • Port Salford rail freight access • East-West Transpennine W12 gauge cleared rail freight route • Preston to Blackpool South (South Fylde Line) - 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Delivery Period	S1	S2	S3 BAU
	<p>Lincolnshire and the Sheffield City Region and the North West</p> <ul style="list-style-type: none"> • Skelmersdale Rail Link • New & Upgraded Stations in the Mersey Dee area (Shotton, Deeside Park, Broughton) 	<p>Lincolnshire and the Sheffield City Region and the North West</p> <ul style="list-style-type: none"> • Skelmersdale Rail Link • New & Upgraded Stations in the Mersey Dee area (Shotton, Deeside Park, Broughton) 	<p>Lincolnshire and the Sheffield City Region and the North West</p> <ul style="list-style-type: none"> • Skelmersdale Rail Link • New & Upgraded Stations in the Mersey Dee area (Shotton, Deeside Park, Broughton)
<p>SOP 2027-2033 'Edge' Schemes</p>	<ul style="list-style-type: none"> • Newcastle to Carlisle (Tyne Valley Line) - route upgrade and journey time improvements • York to Hull (service improvements) • New/upgraded route around the North of Barnsley and Doncaster Districts or along the A6195/ A635 corridor • Fixed infrastructure links to Liverpool John Lennon Airport • Knutsford to Manchester Airport (Western Link) • Rail connection and station for Doncaster Sheffield Airport (DSA) • East Coast Main Line spur to Newcastle Airport • Parkside enhanced freight connectivity • West Coast Main Line freight capacity enhancements • Enhanced public transport links to Fleetwood • Journey time improvements Preston - Blackpool North • Barrow-in-Furness to Lancaster (Furness Line) - journey time and reliability improvements • Rail/ Metro integration improvements within Tyne and Wear to include routes, stations and timetabling • South of Tyne rail-based Park-and-Ride at Follingsby • Bishop Auckland to Saltburn, via Darlington and Middlesbrough (Bishop and Saltburn Lines) – service frequency and journey time improvements • Hull to Scarborough (journey time and frequency improvements) • Extend Merseyrail City Line services to Liverpool Central via Wapping Tunnel re-opening • Chester – Warrington Bank Quay (journey time improvements) • Lancaster - Morecambe additional services • Phase 2 – medium term: Leeds City Region further programme of works delivering capacity to enable forecast growth, as well as reliability improvements, and supporting the introduction of HS2 & NPR • Sheffield to Lincoln (journey time, frequency and capacity improvements) • Huddersfield to Sheffield (Penistone Line) - journey time, frequency and capacity improvements 	<ul style="list-style-type: none"> • M6 Junctions 16 to 19 corridor improvements • M6 Junction 26 to 32 Improvements • A194(M) Whitemare Pool Junction Improvements • A19 North of Newcastle Junctions (Part) comprising: A19 junction and on-line improvements between Killingworth interchange and Coast Road/Silverlink interchange • A69 De-Trunking / A689 Trunking to improve the route function • A69 route improvement, climbing lanes and targeted junction improvements (including the B6351 Hexham west junction) • M62 Junctions 5 to 10 • New/upgraded route between the M65 and Skipton/A629/A650 • M62 Junction 32 to 30 westbound • New/upgraded route around the North of Barnsley and Doncaster Districts or along the A6195/ A635 corridor • Fixed infrastructure links to Liverpool John Lennon Airport • M57 Junctions 4 and 5 • Switch Island (M57/M58/A5036) • West Coast Main Line freight capacity enhancements • Rail/ Metro integration improvements within Tyne and Wear to include routes, stations and timetabling • A164 dualling (A63 to B1232) • M56 Chester Box Improvements • M66 Improvements • M60/M56 interchange improvements • A663 Broadway / M60 Junctions 21 Upgrade • Lancaster - Morecambe additional services • M1 Online Improvements Junction 43 to Hook Moor • M62 Junction 24a • North Kirklees Orbital Route • A638 improvements – Wakefield to the A1(M)) • A61 Corridor Improvements • A57 South Anston bypass 	
<p>SOP Post 2033 'Fixed' Window Schemes</p>	<ul style="list-style-type: none"> • Southport to Wigan (journey time improvements) • East Coast Main Line (journey time and reliability improvements) - Doncaster to York • Crewe to Preston additional calls (additional path between Winsford and Preston) • M6 Junctions 19 to 21A improvements 	<ul style="list-style-type: none"> • Southport to Wigan (journey time improvements) • East Coast Main Line (journey time and reliability improvements) - Doncaster to York • Crewe to Preston additional calls (additional path between Winsford and Preston) • M6 Junctions 19 to 21A improvements 	<ul style="list-style-type: none"> • Southport to Wigan (journey time improvements) • East Coast Main Line (journey time and reliability improvements) - Doncaster to York • Crewe to Preston additional calls (additional path between Winsford and Preston) • M6 Junctions 19 to 21A improvements

Delivery Period	S1	S2	S3 BAU
	<ul style="list-style-type: none"> • A1 North of Ellingham to Edinburgh Dualling (cross-border) • A1 dualling and capacity improvements in the North East (A1(M)) • Barton to Chester-le-Street widening) • North East new strategic river crossing • A19/B1404 Seaton Lane to A19/A183 Chester Road • Preston to Sheffield (journey time improvements) • Liverpool to Preston via Wigan (journey time and service improvements) • New Manchester Airport - Nottingham via Crewe and Derby limited stop service, increasing Crewe-Derby frequency from 1 to 2tph • A689 M6 to Carlisle Lake District Airport capacity improvements and improved M6 connectivity • A69-A696-A1 link to form a NW ring road of Newcastle via the airport • A66 to A1 New Link and Junction north of Scotch Corner • M65 improvements • New/upgraded route between A629/A650 and the A1(M)/M1 • A64 Technology Improvements - A1(M) Bramham to A1237 Hopgrove • A64 Crambeck to Scarborough improvements • A1079 York to Hull improvements • A1 to A19 link • A19 to M18 link • A1 to M1 link, comprising A1 to HS2 link from Redhouse and M1 to HS2 link • M1 to M18 link • M18 Junctions 2 to 5 (and online improvements to M18 Jn 2) • Windermere and Barrow to Manchester Airport (frequency and journey time improvements) • A556 Corridor Improvements • A63 Relief Route • A63 technology improvements • A180 • M18 Junction 4 connection to Doncaster Sheffield Airport • North East rail freight enhancements (passing loops and port connections) • A585 corridor improvements (M55 to Fleetwood) • New Ribble Crossing • Windermere to West Yorkshire (service improvements) • A590 South Cumbria (dualling and wider capacity, journey time and resilience improvements) • A590 Ulverston bypass • Reinstatement of passenger services on Stillington Line (Stockton – Ferryhill) • A580 Dual Carriageway and Some Grade Separation • M57 improvements • Birchwood park and ride • A500 dual carriageway with grade separated junctions • A34 (potential expressway) • Nantwich Southern Relief Road • Heavy rail capacity and journey time improvements in the South Manchester area and on the Wilmslow and Buxton lines 	<ul style="list-style-type: none"> • A1 North of Ellingham to Edinburgh Dualling (cross-border) • A1 dualling and capacity improvements in the North East (A1(M)) • Barton to Chester-le-Street widening) • North East new strategic river crossing • A19/B1404 Seaton Lane to A19/A183 Chester Road • Preston to Sheffield (journey time improvements) • Liverpool to Preston via Wigan (journey time and service improvements) • New Manchester Airport - Nottingham via Crewe and Derby limited stop service, increasing Crewe-Derby frequency from 1 to 2tph • A689 M6 to Carlisle Lake District Airport capacity improvements and improved M6 connectivity • A69-A696-A1 link to form a NW ring road of Newcastle via the airport • A66 to A1 New Link and Junction north of Scotch Corner • M65 improvements • New/upgraded route between A629/A650 and the A1(M)/M1 • A64 Technology Improvements - A1(M) Bramham to A1237 Hopgrove • A64 Crambeck to Scarborough improvements • A1079 York to Hull improvements • A1 to A19 link • A19 to M18 link • A1 to M1 link, comprising A1 to HS2 link from Redhouse and M1 to HS2 link • M1 to M18 link • M18 Junctions 2 to 5 (and online improvements to M18 Jn 2) • Windermere and Barrow to Manchester Airport (frequency and journey time improvements) • A556 Corridor Improvements • A63 Relief Route • A63 technology improvements • A180 • M18 Junction 4 connection to Doncaster Sheffield Airport • North East rail freight enhancements (passing loops and port connections) • A585 corridor improvements (M55 to Fleetwood) • New Ribble Crossing • Windermere to West Yorkshire (service improvements) • A590 South Cumbria (dualling and wider capacity, journey time and resilience improvements) • A590 Ulverston bypass • Reinstatement of passenger services on Stillington Line (Stockton – Ferryhill) • A580 Dual Carriageway and Some Grade Separation • M57 improvements • Birchwood park and ride • A500 dual carriageway with grade separated junctions • A34 (potential expressway) • Nantwich Southern Relief Road • Heavy rail capacity and journey time improvements in the South Manchester area and on the Wilmslow and Buxton lines 	<ul style="list-style-type: none"> • A1 North of Ellingham to Edinburgh Dualling (cross-border) • A1 dualling and capacity improvements in the North East (A1(M)) • Barton to Chester-le-Street widening) • North East new strategic river crossing • A19/B1404 Seaton Lane to A19/A183 Chester Road • Preston to Sheffield (journey time improvements) • Liverpool to Preston via Wigan (journey time and service improvements) • New Manchester Airport - 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Delivery Period	S1	S2	S3 BAU
	<ul style="list-style-type: none"> • M62-Carrington-M60 link • A6 Disley and High Lane bypass • M6 Junction 25 slip roads • Rossendale to Manchester public transport connectivity • Clitheroe to Manchester Victoria via Blackburn and Bolton (journey time and service improvements) • A59 corridor improvements (Liverpool to Preston) • M58 & M6 Interchange • A56 corridor improvements (M65 to M66) • Phase 3 – long term: Leeds City Region additional works improving the capacity of the network to enable forecast growth, and realising the introduction of HS2 and NPR, enabling their benefits to be spread and maximised • Rotherham to Leeds (frequency improvements) • M1 Junction 37a • Sheffield – Nottingham (journey time improvements) • A534 route upgrade • A51 Improvements (Nantwich to Chester – potential expressway) • A54 Corridor Improvements (M6 to Chester) • A15 improvements (M180 to A46 Lincoln Bypass) • A1 improvements (south of Blyth) 	<ul style="list-style-type: none"> • M62-Carrington-M60 link • A6 Disley and High Lane bypass • M6 Junction 25 slip roads • Rossendale to Manchester public transport connectivity • Clitheroe to Manchester Victoria via Blackburn and Bolton (journey time and service improvements) • A59 corridor improvements (Liverpool to Preston) • M58 & M6 Interchange • A56 corridor improvements (M65 to M66) • Phase 3 – long term: Leeds City Region additional works improving the capacity of the network to enable forecast growth, and realising the introduction of HS2 and NPR, enabling their benefits to be spread and maximised • Rotherham to Leeds (frequency improvements) • M1 Junction 37a • Sheffield – Nottingham (journey time improvements) • A534 route upgrade • A51 Improvements (Nantwich to Chester – potential expressway) • A54 Corridor Improvements (M6 to Chester) • A15 improvements (M180 to A46 Lincoln Bypass) • A1 improvements (south of Blyth) 	<ul style="list-style-type: none"> • M62-Carrington-M60 link • A6 Disley and High Lane bypass • M6 Junction 25 slip roads • Rossendale to Manchester public transport connectivity • Clitheroe to Manchester Victoria via Blackburn and Bolton (journey time and service improvements) • A59 corridor improvements (Liverpool to Preston) • M58 & M6 Interchange • A56 corridor improvements (M65 to M66) • Phase 3 – long term: Leeds City Region additional works improving the capacity of the network to enable forecast growth, and realising the introduction of HS2 and NPR, enabling their benefits to be spread and maximised • Rotherham to Leeds (frequency improvements) • M1 Junction 37a • Sheffield – Nottingham (journey time improvements) • A534 route upgrade • A51 Improvements (Nantwich to Chester – potential expressway) • A54 Corridor Improvements (M6 to Chester) • A15 improvements (M180 to A46 Lincoln Bypass) • A1 improvements (south of Blyth)
<p>SOP Post 2033 'Edge' Schemes</p>	<ul style="list-style-type: none"> • M6 Junctions 16 to 19 corridor improvements • M6 Junction 26 to 32 Improvements • A194(M) Whitemare Pool Junction Improvements • A19 North of Newcastle Junctions (Part) comprising: A19 junction and on-line improvements between Killingworth interchange and Coast Road/Silverlink interchange • A69 De-Trunking / A689 Trunking to improve the route function • A69 route improvement, climbing lanes and targeted junction improvements (including the B6351 Hexham west junction) • M62 Junctions 5 to 10 • New/upgraded route between the M65 and Skipton/A629/A650 • M62 Junction 32 to 30 westbound • M57 Junctions 4 and 5 • Switch Island (M57/M58/A5036) • A164 dualling (A63 to B1232) • M56 Chester Box Improvements • M66 Improvements • M60/M56 interchange improvements • A663 Broadway / M60 Junctions 21 Upgrade • M1 Online Improvements Junction 43 to Hook Moor • M62 Junction 24a • North Kirklees Orbital Route • A638 improvements – Wakefield to the A1(M)) • A61 Corridor Improvements • A57 South Anston bypass 	<ul style="list-style-type: none"> • Newcastle to Carlisle (Tyne Valley Line) - route upgrade and journey time improvements • York to Hull (service improvements) • Knutsford to Manchester Airport (Western Link) • Rail connection and station for Doncaster Sheffield Airport (DSA) • East Coast Main Line spur to Newcastle Airport • Parkside enhanced freight connectivity • Enhanced public transport links to Fleetwood • Journey time improvements Preston - Blackpool North • Barrow-in-Furness to Lancaster (Furness Line) - journey time and reliability improvements • South of Tyne rail-based Park-and-Ride at Follingsby • Bishop Auckland to Saltburn, via Darlington and Middlesbrough (Bishop and Saltburn Lines) – service frequency and journey time improvements • Hull to Scarborough (journey time and frequency improvements) • Extend Merseyrail City Line services to Liverpool Central via Wapping Tunnel re-opening • Chester – Warrington Bank Quay (journey time improvements) • Phase 2 – medium term: Leeds City Region further programme of works delivering capacity to enable forecast growth, as well as reliability improvements, and supporting the introduction of HS2 & NPR • Sheffield to Lincoln (journey time, frequency and capacity improvements) 	<ul style="list-style-type: none"> • M6 Junctions 16 to 19 corridor improvements • M6 Junction 26 to 32 Improvements • A194(M) Whitemare Pool Junction Improvements • A19 North of Newcastle Junctions (Part) comprising: A19 junction and on-line improvements between Killingworth interchange and Coast Road/Silverlink interchange • Newcastle to Carlisle (Tyne Valley Line) - route upgrade and journey time improvements • York to Hull (service improvements) • New/upgraded route around the North of Barnsley and Doncaster Districts or along the A6195/ A635 corridor • A69 De-Trunking / A689 Trunking to improve the route function • A69 route improvement, climbing lanes and targeted junction improvements (including the B6351 Hexham west junction) • M62 Junctions 5 to 10 • New/upgraded route between the M65 and Skipton/A629/A650 • M62 Junction 32 to 30 westbound • Fixed infrastructure links to Liverpool John Lennon Airport • Knutsford to Manchester Airport (Western Link) • Rail connection and station for Doncaster Sheffield Airport (DSA) • East Coast Main Line spur to Newcastle Airport • M57 Junctions 4 and 5 • Switch Island (M57/M58/A5036) • Parkside enhanced freight connectivity

Delivery Period	S1	S2	S3 BAU
		<ul style="list-style-type: none"> • Huddersfield to Sheffield (Penistone Line) - journey time, frequency and capacity improvements 	<ul style="list-style-type: none"> • West Coast Main Line freight capacity enhancements • Enhanced public transport links to Fleetwood • Journey time improvements Preston - Blackpool North • Barrow-in-Furness to Lancaster (Furness Line) - journey time and reliability improvements • Rail/ Metro integration improvements within Tyne and Wear to include routes, stations and timetabling • South of Tyne rail-based Park-and-Ride at Follingsby • Bishop Auckland to Saltburn, via Darlington and Middlesbrough (Bishop and Saltburn Lines) – service frequency and journey time improvements • Hull to Scarborough (journey time and frequency improvements) • A164 dualling (A63 to B1232) • Extend Merseyrail City Line services to Liverpool Central via Wapping Tunnel re-opening • Chester – Warrington Bank Quay (journey time improvements) • M56 Chester Box Improvements • M66 Improvements • M60/M56 interchange improvements • A663 Broadway / M60 Junctions 21 Upgrade • Lancaster - Morecambe additional services • Phase 2 – medium term: Leeds City Region further programme of works delivering capacity to enable forecast growth, as well as reliability improvements, and supporting the introduction of HS2 & NPR • M1 Online Improvements Junction 43 to Hook Moor • M62 Junction 24a • North Kirklees Orbital Route • A638 improvements – Wakefield to the A1(M)) • Sheffield to Lincoln (journey time, frequency and capacity improvements) • Huddersfield to Sheffield (Penistone Line) - journey time, frequency and capacity improvements • A61 Corridor Improvements • A57 South Anston bypass

Future Travel Scenario narratives summary

Future Scenario 1 – Just about managing

This scenario sees a state of inertia, although this should not be taken as neutral. This scenario is led by markets, without much increase in political direction, with its biggest driver being economic. Key aspects:

- Existing trend of urbanisation and growth distribution continues. Little change in demographics and travel behaviour seen today.
- Modest technology uptake, widespread growth in electric vehicles and some autonomy. Net Zero 2050 target not met - climate change and travel disruption becomes more extreme.
- Moderate growth in remote working. Continuation of freight transportation as seen today.
- No transformation in level of economic growth. Reactive political direction results in a rigid economy, lacking agility and vulnerable to economic shocks.

Future Scenario 2 – Prioritised Places

This scenario sees the UK significantly shifting the political and economic direction to ensure that no place is left behind. Every area, including cities, towns and rural and coastal areas, has a bespoke local economic strategy, supported by investment in local assets and economic and social infrastructure. This scenario is led by a change in priorities, with its biggest driver being the push for a fairer redistribution of economic prosperity. Key aspects:

- Bespoke local strategies, focusing on quality of life, place-making and community, rather than primarily economic growth. Slower growth in cities, more in towns and rural/coastal areas.
- Moderate growth in electric vehicles and some autonomy, especially in cities.
- Continued private mobility ownership sees a struggle to realise a zero-emission transport network.
- More active and public transport within communities. People value face to face interaction.
- No transformation in level of economic growth. Fairer distribution of prosperity.
- Focus on work-life balance and social equity within and between places.

Future Scenario 3 – Digitally Distributed

This scenario sees a future where digital and technological advances accelerate, transforming how we work, travel and live. In general, we embrace these technological changes and the move towards a distributed, service-based transport system. This scenario is led by technology, with the biggest drivers being technical advances and a willingness to embrace mobility-as-a-service and shared mobility. Key aspects:

- Growth dispersed between cities and towns and less city-centric.
- High uptake of EV, ULEV's and driverless vehicles means target of zero emissions before 2050 is met (but slow progress in short term). Some fiscal and regulatory action to influence technology use, but congestion persists in places and opportunities not available to all.
- Increased digital remote working and dispersed employment > trip lengths are longer but less often. Willingness to embrace MaaS and shared mobility - through technology acceptance. Increase in road capacity. Freight warehousing distributed.
- Transformational economic growth as towns and cities become more interdependent.

Future Scenario 4 – Urban Zero Carbon

This scenario sees a significant shift in public attitudes towards action on climate change, and a strong Government response to meet it. This scenario is led by attitudes to climate action and urban place-making, with the biggest drivers being strong Government policy and urban densification. Key aspects:

- Cities and large towns become more dense but attractive places to live. Large rural settlements may benefit, others will see reduction in population and employment without support of national policy.
- Strong fiscal and regulatory action set us on pathway to zero carbon before 2050. Increased devolution leads to integrated transport and energy systems which deliver clean networks.
- Urban living reduces remote working and increases freight consolidation centres. Increased public and active transport, including shared mobility as public and private travel becomes blurred.
- Transformational economic growth primarily through urban agglomeration and place-making.

Transport for the North Board

Subject: Economic Recovery Plan (ERP)

Author: Owen Wilson, Major Roads Strategy Manager

Sponsor: Peter Molyneux, Major Roads Director

Meeting Date: Wednesday 29 July 2020

1. Purpose of the Report

1.1 This report seeks Transport for the North Board endorsement of the Economic Recovery Plan (ERP) and to a TfN writing to the Secretary of State for Transport with a formal request for Government to work with TfN and our partners on taking forward plans for delivery of schemes identified in our Economic Recovery Plan.

Executive Summary:

- 2.1 On the 11th June TfN Board agreed that TfN should write to the Secretary of State for Transport setting out the work that is underway on developing an ERP and highlighting the key messages the North should put across to Government. Copies of the letter sent, and the response are attached as appendices 1 and 2.
- 2.2 This report briefly sets out the process by which TfN has worked with partners to develop a realistic but ambitious economic recovery package of transport interventions.
- 2.3 The guiding theme of our Economic Recovery Plan is to “Rebuild and Transform the North”, set out in the letter to the Secretary of State are key principles that sit underneath this stating that:
- It reflects the challenges of Covid-19, particularly for public transport, and include investment to support recovery of the transport network.
 - It will include ‘shovel ready’ projects to be part of a Northern Infrastructure Pipeline (NIP) that are ready to go from the autumn, start employing people directly and provide an immediate injection of capital into the North’s economy (as HS2 is now doing in the south).
 - It identifies projects close to agreement / procurement that can be accelerated in the short term and provide confidence to the industry (supporting retention / recruitment of staff, investment in

skills, and investment in a Northern Infrastructure Pipeline capability).

- That major schemes already in government processes, including road schemes in RIS2 such as the A66 and A63, and rail schemes such as the Trans-Pennine Route Upgrade and the Central Manchester Corridor, are progressed with all reasonable speed
- It includes longer term projects – i.e. later 2020s that will help promote dependent development and inward investment in anticipation of schemes being delivered.
- That we have worked with TfN partners to ensure our programme supports better integration across transport modes.
- That support for new lower carbon technologies, improved digital connectivity and long term sustained investment in Active Travel is critical to building sustainability in to how we plan and deliver transport in the North.
- That greater devolution of funding and decision making is critical to delivering a joined-up approach at a regional and local level, and we ask that Government move quickly to devolve funding on local public transport to city regions and local transport authorities.

2.4 Working with our partners we have identified 166 proposed schemes across the North. Schemes considered can be characterised as falling into three broad timescales for delivery.

- Schemes that can be delivered within 6-18 months, immediately supporting jobs and recovery from the impacts of Covid 19.
- Schemes that can start construction within 2-4 years, supporting longer term economic recovery
- Schemes where immediate investment in accelerated development would support jobs, boost confidence and maintain an ongoing Northern Infrastructure Pipeline.

2.5 The Economic Recovery Plan will include an overarching narrative highlighting the urgent need for rebuilding our northern economy by accelerating investment, whilst also transforming the current Whitehall-led decision-making process to a greater devolved approach that ensures more decisions are in the hands of those who live and work in the North of England.

3. Background:

3.1 A strong case for early investment needs to demonstrate clear alignment with strategic objectives, including delivery of a more

resilient and sustainable transport network. And critically strong evidence of the benefits of, and feasibility of accelerated delivery.

- 3.2 The Economic Recovery Plan should also be seen within the context of TfN's support for actively working towards the decarbonisation of transport, whilst recognising that roads are a vital element of a reliable and sustainable transport system. The DfT has commenced consultation on the Transport Decarbonisation Plan (TDP) and will work towards setting out the policies and plans needed to tackle transport emissions, which will shape the role, usage and travel patterns of roads. TfN is committed to creating a sustainable road network with a shift to active travel for shorter journeys, and decarbonisation through an increased uptake in electric vehicles alongside other measures within our decarbonisation pathways workstream. This work recognises the diverse nature of the North and the different transport needs of urban and rural areas.
- 3.3 Building upon the STP's Investment Programme for the North, and recent work on sequencing that Investment Programme, we started work in early May 2020 to identify opportunities for supporting economic recovery through fast tracking development and delivery of transport improvements to build a Northern Infrastructure Pipeline that can be used to target investment across the North of England.
- 3.4 TfN Board on 11th June agreed that given the need for a rapid economic stimulus the ERP should not be constrained to just considering schemes in the STP's Investment Programme. For example interventions that could be mobilised quickly and have lasting benefits might include, 'spend to save' initiatives, including investment in decarbonising transport, in greater digital connectivity, on improving the flexible ticketing offer for public transport customers and on major maintenance programmes, particularly where improving transport reliability and resilience. There could also be opportunities to propose funding for up-front development work, for example where there are evidence gaps in meeting the conditional outputs in the Long-Term Rail Strategy.
- 3.5 TfN has engaged with partners to review potential ERP proposals and identified 166 schemes for across the North. Around 70% (by cost) of schemes considered are within the previous STP Investment Programme. With the remainder comprising of local active travel interventions, public transport initiatives, critical maintenance schemes, plans for electric vehicle charging, plus a small number of additional highway and rail infrastructure schemes.
- 3.6 TfN partners submitted over 190 proposals ranging from opportunities for potential fast tracking of strategic infrastructure schemes to rapid delivery of local active travel and public transport improvements. Schemes presented in appendices 3-5 of this report, are not intended to provide a comprehensive list of all the local transport priorities. Rather, the ERP sets out the potential for TfN and partners to work

together delivering complementary transport improvements at scale and pace across the North.

- 3.7 To maintain a consistent approach, we have qualitatively assessed proposed schemes using the STP's Investment Programme Sequencing Framework.
- 3.8 The short timescale for work on the ERP means that at this stage we haven't asked for a substantial amount of work from partners or completed a thorough due diligence assessment of the ERP proposals.
- 3.9 Using the information provided we have aimed to ensure that we understand the scope of the schemes, that the proposals are aligned with STP Objectives and that schemes have a credible chance of delivery within the ERP timescales. In assessing schemes, we have focused on the immediate need for investment to support recovery of the transport system and on bringing forward delivery of schemes within our Northern Infrastructure Pipeline.
- 3.10 TfN partners will need to ensure they are resourced to take forward work on scheme delivery.
- 3.11 Schemes considered can be characterised as falling into three broad timescales for delivery.
- Schemes that can be delivered within 6-18 months, immediately supporting jobs and recovery from the impacts of Covid 19.
 - Schemes that can start construction within 2-4 years, supporting longer term economic recovery
 - Schemes where immediate investment in accelerated development would support jobs, boost confidence and maintain an ongoing Northern Infrastructure Pipeline.

Schemes that can be delivered within 6-18 months

List of proposals included in appendix 3

- 3.12 Schemes that, with funding from Government, could start delivery no later than 2021/22 include:
- Installation of technology to enable contactless ticketing at all rail stations in the North and on all light rail networks (Manchester Metrolink, Tyne and Wear Metro, Blackpool, Sheffield and Liverpool Merseyrail). Estimated Cost £53M.
 - Swift delivery of schemes in the advanced stages of development, waiting on a funding announcement. In the North this includes rail and highway improvements at value of around £850M. Release of funding would have an immediate impact on supporting around 8000 jobs.

- As the country emerges from the pandemic, passenger confidence will be critical to encouraging passengers back onto public transport. Expansion of the TfN real time Open Data Hub would provide high-quality real-time information on public transport services including on seating capacity and crowdedness. Cost estimate £5M.
- A commitment to supporting TfN partners in bringing forward local schemes supporting recovery and the sustainability of our transport networks, for example:
 - Further investment in Active Travel, with funding to support improved facilities for cycling and walking made available to all areas of the North. Many TfN partners have well developed Active Travel plans which with funding could be rapidly delivered. TfN partners have identified schemes to the value of £485M, 70% of which could be on site before 2022.
 - Accelerated and co-ordinated roll out of Electric Vehicle charging infrastructure across local, regional and national networks. This is an area where TfN advocates a strategic approach to planning and delivery of EV charging and working with our partners can support Government in delivering on ambitions to decarbonise road transport. TfN partners are ready to rapidly deliver £62M investment in EV charging networks.
 - Immediate investment of £200M in improving the reliability and resilience of the transport network, saving costs in the long term through use of smarter technologies, plus a number of maintenance and flood resilience schemes.
 - Funding for Future Mobility Zones in the North, with both West Yorkshire and Greater Manchester ready to take forward their Future Mobility plans for making travel in towns and cities more convenient, more reliable and cheaper.
- Though not within TfN or our partners direct area of influence we are also calling for further investment in delivering high speed broadband across the North. As the pandemic has shown, good digital connectivity is critical to supporting a modern and more resilient economy.

Schemes that can start construction within 2-4 years

List of proposals included in appendix 4

- 3.13 Schemes that, with funding from Government, could start delivery no later than 2024/25 include:
- £2.5Bn of locally promoted schemes in an existing industry process. For example, Rail Network Enhancement Pipeline (RNEP) schemes and Large Local Majors (LLMs) and Major Road Network (MRN) schemes waiting on Government decisions so they can progress to Outline, Full Business Case and construction.
 - Potential to bring forward a further £310M in upgrades and maintenance and renewal schemes.

- Accelerated development and delivery of RIS2 schemes including fast tracking work on the A66 dualling, delivery of Smart Motorways in the North.

3.14 **Schemes where immediate investment in accelerated development would support jobs, boost confidence and maintain an ongoing Northern Infrastructure Pipeline of investment to start by 2026/27.**

List of proposals included in appendix 5

- Accelerated development work on Northern Powerhouse Rail including provision of Dearne Valley Station and improvements at Doncaster and Rotherham Stations. Developing an early Northern Infrastructure Pipeline of £800M in NPR investment.
- Early investment in bringing forward development on RIS3 Programme priorities, for example upgrading the section of A1 from Doncaster – Darrington, dualling the A64 York to Barton Hill.
- Fast tracking work on bringing forward work on re-connecting communities to the rail network and delivering further improvements on the existing rail network.
- Investment in development of improved rail freight connections, including east-west routes to /from the North Major Ports. For example, Port of Liverpool, Hull and the Humber ports.

4. Economic Narrative

4.1 TfN is preparing a narrative around the Economic Recovery Plan proposals to show how investment in pan-Northern transport interventions can support the rebuilding and transformation of the North's economy in the wake of the pandemic and economic crisis.

4.2 In evidencing those impacts, we will need to be realistic about the ability of transport schemes to quickly deliver economic benefits in the early years of the recovery. What we do expect is that early government commitment to a Northern Infrastructure Pipeline can support the rebuilding of the economy as follows:

- The North's economic output and labour market to a level of where it was before the crisis.
- The passenger usage and capacity on the rail network to pre-crisis levels, without returning to overcrowded trains and cancelled services.
- Jobs and investment in construction and transport planning to support the economic recovery, promote skills and build a Northern based supply chain.
- The confidence of businesses to invest in our towns, cities and other places.

-
- 4.3 Critically the Economic Recovery Plan could deliver a return of up to £3 for every £1 invested and secure the future of between 60,000 and 120,000 vital construction and design jobs.
- 4.4 The Economic Recovery Plan must also lay the foundations for a transformed Northern Economy as envisaged by the Strategic Transport Plan and Northern Transport Charter, including:
- The economic model of the North of England so that there is a more inclusive and sustainable greener growth that helps rebalance the UK economy by redesigning its economic architecture.
 - The capacity and resilience of the current rail network by building transformative schemes such as Northern Powerhouse Rail to future proof the north's rail network.
 - Our economy to a greener and more decarbonized economy fit for future generations by linking current good practice on a pan-northern level in transport infrastructure schemes.
 - The current appraisal methodology that guides decisions over the approval of infrastructure projects to help the North truly "level up".

5. Conclusion and next steps

- 5.1 Through working together as 'One Voice' the North is in a strong position to put forward a compelling case for accelerated delivery of transport infrastructure.
- 5.2 With the endorsement of the Board will formally ask the Government to work with TfN and our partners on taking forward plans for delivery of schemes identified in our Economic Recovery Plan.

6. Options Considered:

- 6.1 Not applicable at this stage as there are no options to be considered.

7. Considerations:

- 7.1 The approach to developing an Economic Recovery Plan (ERP), as detailed in this report.

8. Recommendation:

- 8.1 TfN Board endorse the proposed Economic Recovery Plan (ERP) and agree to TfN writing to the Secretary of State for Transport with a formal request for Government to work with TfN and our partners on taking forward plans for delivery of schemes identified in our Economic Recovery Plan.

9. Appendices:

- 9.1
1. TfN letter to Secretary of State, sent in June.
 2. Response from Secretary of State
 3. ERP schemes that can be delivered within 6-18 months
 4. ERP schemes that Schemes that can start construction within 2-4 years.
 5. ERP schemes where immediate investment in accelerated development would support jobs, boost confidence and maintain an ongoing Northern Infrastructure Pipeline of investment to start by 2026/27.

List of Background Documents

TfN Qualitative Sequencing Report

Required Considerations

Please confirm using the yes/no options whether or not the following considerations are of relevance to this report.

Equalities:

Age	Yes	No
Disability	Yes	No
Gender Reassignment	Yes	No
Pregnancy and Maternity	Yes	No
Race	Yes	No
Religion or Belief	Yes	No
Sex	Yes	No
Sexual Orientation	Yes	No

Consideration	Comment	Responsible Officer	Director
Equalities	An Impact assessment has not been carried out as this report is seeking endorsement for the approach to developing the ERP	Owen Wilson	Peter Molyneux

Environment and Sustainability

Yes	No
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Consideration	Comment	Responsible Officer	Director
Sustainability / Environment	Sustainability / environmental risks and opportunities will be considered at a high level, using a qualitative assessment to develop the ERP.	Owen Wilson	Peter Molyneux

Legal

Yes	No
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Consideration	Comment	Responsible Officer	Director
Legal	<i>TfN Legal Team</i> has confirmed there are no legal implications.	Rosemary Lyons	Julie Openshaw

Finance

Yes	No
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Consideration	Comment	Responsible Officer	Director
Finance	TfN Finance Team has confirmed that at this stage there are no financial implications.	Gareth Sutton	Iain Craven

Resource

Yes	No
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Consideration	Comment	Responsible Officer	Director
Resource	TfN HR Team has confirmed at this stage there are no resource implications.	Stephen Hipwell	Dawn Madin

Risk

Yes	No
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Consideration	Comment	Responsible Officer	Director
Risk	A risk assessment will be carried out when work on the ERP commences and any key risks will be included in the corporate risk report.	Haddy Njie	Peter Molyneux Iain Craven

Consultation

Yes	No
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Consideration	Comment	Responsible Officer	Director
Consultation	The ERP has been developed through engagement with TfN partners.	Owen Wilson	Peter Molyneux

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Date: 17 June 2020

The Rt. Hon. Grant Shapps

Secretary of State
Great Minster House
33 Horseferry Road
London
SW1P 4DR

Transport for the North

2nd Floor
4 Piccadilly Place
Manchester
M1 3BN
Tel: 0161 244 0888

(Sent by e-mail)

Dear Secretary of State,

Economic Recovery Plan – Transform and Rebuild the North

In response to the profound impacts COVID-19 has had on our country and our local communities, there is a clear need to rebuild and transform the North's economy.

In this light, we have built upon TfN's existing Investment Programme for the North and quickly moved to identify opportunities for fast-tracking development and delivery of transport improvements.

We're currently working on an Economic Recovery Plan and wanted to give you early sight of the key principles and provide our initial advice on the North's priorities.

Firstly, the founding principles for our Economic Recovery Plan are that it will:

- Reflect the challenges of COVID-19, particularly for public transport, and include investment to support recovery of the transport network;
- Include 'shovel ready' projects as part of a Northern Infrastructure Pipeline (NIP) that are ready to go from this autumn, start employing people directly and provide an immediate injection of capital into the North's economy (as HS2 is now doing in the South);
- Identify projects close to agreement/procurement that can be accelerated in the short-term and provide confidence to the industry (supporting retention/recruitment of staff, investment in skills, and investment in pipeline capability);
- Include longer-term projects that will help promote dependent development and inward investment in anticipation of schemes being delivered;
- Support better integration across transport modes, creating a more joined-up approach at regional and local level, supported by further devolved funding and decision-making on local public transport to city regions and local transport authorities;

- Build sustainability into how we plan and deliver transport in the North, including support for new lower carbon technologies; improved digital connectivity; and long-term sustained investment in Active Travel; and
- Accelerate major schemes already in government processes, including road schemes in RIS2 such as the A66 and A63, and rail schemes such as the Trans-Pennine Route Upgrade and the Cumbrian Coast Line.

We have received 150 projects from across the North for consideration and we are assessing these to recommend a full list of multi-modal interventions to TfN's Board meeting on the 29th July.

However, we have also identified early examples of investment that can be advanced quickly. These include road and rail improvements, flexible smart rail ticketing and proposals for sustained investment in active travel and wider connectivity through non-urban high-speed broadband.

The early projects identified for the NIP include:

Schemes supporting recovery in the context of COVID-19

1. Active travel

The current boost to active travel needs further funding to develop temporary facilities, followed by year in, year out investment devolved to city regions and local authorities. Many small projects support local construction jobs and can help sustain and build on the recent spike in cycling and walking as a sustainable travel choice for many.

2. Smart contactless ticketing on rail

Reflecting changes in work patterns, there is a need to accelerate the introduction of 'flexi season' smart rail tickets, as well as introduce contactless, pay-as-you-go travel on rail in the North. Such tickets are already being piloted and could be rapidly expanded by equipping the North's stations and staff with the right technology to support their use.

In parallel - and in line with the Williams Review position on simpler and easier ways to pay - we can roll out a fast-track procurement to deploy contactless pay-as-you-go rail travel. Both these measures are essential steps to build back passenger numbers, respond to the changing ways people may travel and will help persuade more car users to switch modes in the longer term.

3. Rapid deployment of contactless payment on light/urban rail

With similar benefits for passenger confidence as above, enabling light/urban rail networks including Tyne and Wear Metro, Blackpool, Sheffield and Liverpool Merseyrail, to offer contactless payment and more flexible ticketing options.

4. **Supporting non-urban high-speed broadband**

COVID-19 has accelerated new ways of working with 'Zoom' and 'Teams', and we believe the North's economy needs, in addition to transport investment, a quick move to subsidise non-urban high-speed broadband - as recommended in the National Infrastructure Assessment. We welcome the shift to new ways of working - with this change already part of our future travel scenarios. We see connecting communities with digital links as complimentary to the need to improve transport links, with both needed to improve economic opportunity.

5. **Electric Vehicle (EV) charging**

Accelerated and co-ordinated delivery of EV charging infrastructure across local, regional and national networks. Dedicated and continuous funding will enable the rapid delivery of a widespread EV network which ensures no place is left behind, supporting improvements to air quality and the UK in meeting committed carbon budgets.

6. **Piloting low carbon**

Investment now in schemes and pilot studies to progress decarbonisation of transport. Prime examples being:

- a) Tees Valley Hydrogen Train project, which is awaiting approval for funding, is developed and has significant support across industry and local authorities.
- b) Hybrid Battery drive technology for the Windermere line and on Merseyrail Trains, optimising train performance and allowing operation beyond the current existing electrified network, without the need for new rail infrastructure. This would greatly increase public transport connectivity across the North West, increasing access to jobs, education and leisure opportunities.

7. **Passenger Information.** Expansion of TfN's real time Open Data Hub to make available information that increases passenger confidence in using public transport, for example, data on seating capacity and crowdedness. With trust a key enabler in getting passengers back on public transport, high quality information delivered in the right format at the right time is vital.

Schemes that support longer term economic recovery

8. **Fast tracking decisions on promoted rail schemes**

Partner promoted projects include the Cumbrian Coast Line, Skelmersdale Line and continued emphasis on quick delivery of Middlesbrough and Darlington Station upgrades. In the current environment, we should work together to speed such projects up, supporting local jobs in the supply

chain.

9. **Rail freight**

Measures to support rail freight including improved access to TeesPort, Humber Ports, Port of Tyne and Port of Liverpool and capacity, including the W12 clearance on the Trans-Pennine Route Upgrade (TRU) and on diversionary routes such as the Calder Valley and Copy Pit line. Improved access is critical to ensuring Northern Ports fully support international trade as the UK develops new trading relationships across the world.

10. **Rail network enhancements pipeline**

Accelerating schemes to address congestion at key hubs and improve reliability across the North. For example, Leeds Station, TRU, Hope Valley line, and interventions in Central Manchester. Progressing these major schemes at the fastest pace possible will help secure and retain skills across the construction industry.

11. **Northern Powerhouse Rail acceleration**

Confirming future development funding to allow work to continue at pace preparing NPR for construction in the mid-2020s. The opportunity to shorten the business case process is one that, as co-sponsors, we can jointly seek to deliver - creating jobs in the supply chain and giving investors in our cities increased confidence. We have made some initial proposals but believe that there is more that can be done.

12. **Large Local Majors and Major Road Network**

Commitment to, and delivery of, schemes within the 2020-2025 National Roads Fund programme.

- a) New River Tees Crossing;
- b) Tyne Bridge & Central Motorway MRN scheme;
- c) A500 dualling in Cheshire East (Meremoor Moss – M6 J16);
- d) A34 Cheadle MRN scheme;
- e) A1237 phase 1 improvements in York; and
- f) A59 Kex Gill landslip.

These projects between them, valued at around £400M, could support 1,000 long term jobs, and have a wider impact on the local economy.

13. **Accelerating the Road Investment Strategy**

Faster development and delivery of projects on the strategic road network including:

- a) A66 dualling - developed at increased speed and getting elements of the project underway faster than currently scheduled.

- b) Bringing forward delivery of other RIS3 Programme schemes (e.g. A1 upgrade Doncaster – Darrington/A64 Hopgrove).

The impact of the COVID-19 crisis reinforces the call of our Board over the past year for a devolved 'Northern Budget' - allowing for investment decisions to be made by the people who live and work in the North of England. Decision making at a regional level will deliver accelerated investment, increase competitiveness and help stimulate economic growth. Our members feel that now, more than ever, is the time to enact such change.

We look forward to continued dialogue on our initial examples set out above and as we develop the full set of proposals in our recovery plan.

We will submit a comprehensive programme of schemes after our Board meeting on 29th July – which we'd be delighted if you could attend.

We stand ready to work with you and your Department to drive an economic recovery with the ambition of a green, inclusive and levelled-up nation.

Yours sincerely,



Barry White
Chief Executive
Transport for the North

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Department
for Transport

Barry White
Chief Executive
Transport for the North
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M1 3BN

From the Secretary of State
The Rt. Hon. Grant Shapps

Great Minster House
33 Horseferry Road
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SW1P 4DR

Tel: 0300 330 3000
E-Mail: grant.shapps@dft.gov.uk

Web site: www.gov.uk/dft

Our Ref: MC/295926
Your Ref:

29 June 2020

Dear Barry,

Thank you for your letter of 17 June 2020, enclosing the latest summary of the work being carried out by Transport for the North as you develop your ideas for an Economic Recovery Plan.

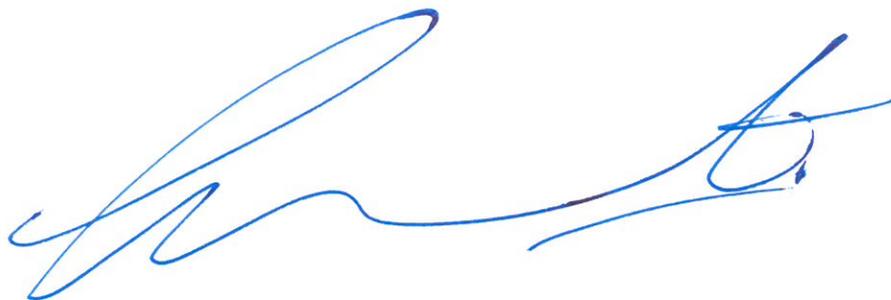
As Northern Powerhouse Minister, I am determined to see the North at the forefront of our plans for economic recovery. For that reason, my fellow Minister and I are talking to the Mayors, Leaders and LEP representatives across the North this week to understand their priorities for transport as we move out of the crisis. I am also grateful for the opportunity to see how TfN's Economic Recovery Plan is developing and am pleased to note that the key priorities identified are shared by Government. As you will be aware, the Government has already moved forward on some of the priorities raised in your letter.

For example, we are committed to active travel and have already pledged £5bn of new funding to make improvements for cyclists by, amongst other things, introducing cycle and bus corridors as we announced in February. Alongside the cycling and bus improvements, we are also increasing our green transport option by bringing forward trials of e-scooters rentals. In addition to these measures, we share your understanding of the role EV charging will play both short and long term and have already pledged funds to boost electric vehicle charging points and to incentivise local authorities to install up to 7,200 additional on-street electric vehicle chargepoints. We will be considering further investment opportunities to accelerate the recovery of the North over the coming weeks and months.

I hope this letter reassures you that the Government is committed to restarting the economy and is working hard to identify future funding

and investments to aid the post Covid-19 recovery, your letter will be a useful input to this process.

Yours ever,



Rt Hon Grant Shapps MP

SECRETARY OF STATE FOR TRANSPORT

All best wishes.

ERP Report Appendix 3: Schemes that can be delivered within 6-18 months

Date updated	Ref	Scheme Name	SDC Name (if applicable)	Construction by 2024/25 or 2026/27	Mode/Network	Type	Location
08/06/2020	ERP_03.01_Road	Middlewich Eastern Bypass	Ref case	2024/25	MRN	Road Upgrades	Cheshire and Warrington & Welsh Government
08/06/2020	ERP_03.03_Road	A51 Calveley Canal Structure Renewal		2024/25	MRN	Maintenance/Renewals	Cheshire and Warrington & Welsh Government
30/06/2020	ERP_04.05_Road	A500 Cheshire	LLM Ref case	2024/25	MRN	Road Upgrades	Cheshire and Warrington & Welsh Government
08/06/2020	ERP_19.04_Road	Warrington Western Link	Ref case	2024/25	Local Road Network	Road Upgrades	Cheshire and Warrington & Welsh Government
08/06/2020	ERP_19.05_Road	Warrington Growth Programme - South East Warrington Strategic Gateway (M6 J20)		2024/25	SRN	Road Upgrades	Cheshire and Warrington & Welsh Government
22/06/2020	ERP_06.17_MRN	A595 Bothel	MRN Ref case	2024/25	MRN	Road Upgrades	Cumbria
23/06/2020	ERP_06.18_HIF	Carlisle Relief Road	HIF Ref case	2024/25	MRN	Road Upgrades	Cumbria
26/06/2020	ERP_28.01_RIS	Emphasis on quick delivery of RIS1 schemes brought forward into RIS2		2024/25	SRN	Road Upgrades	Highways England
15/06/2020	ERP_24.01_Other	IST Project 1 - Introduction of Rail Flexi-seasons across the North	IST	2024/25	IST	Rail/IST	IST - North wide
15/06/2020	ERP_24.02_Other	IST Open Data Hub Expansion	IST	2024/25	IST	Rail/IST	IST - North wide
15/06/2020	ERP_24.03_Other	IST project 2: Contactless on light rail	IST	2024/25	IST	Rail/IST	IST - North wide
01/07/2020	ERP_06.20_Other	Preston City Region Corridors		2024/25	Other	Active/Sustainable	Lancashire, Blackburn and Blackpool
01/07/2020	ERP_06.21_Other	Preston City Region Supporting East and West Growth Areas		2024/25	Other	Active/Sustainable	Lancashire, Blackburn and Blackpool
01/07/2020	ERP_06.21_Other	Supporting North and South Growth Areas		2024/25	Other	Active/Sustainable	Lancashire, Blackburn and Blackpool
07/07/2020	ERP_29.02_Rail	Northern Trains - Hellifield Feasibility Study		2024/25	Rail	Rail/IST	Lancashire, Blackburn and Blackpool
08/06/2020	ERP_10.04_Road	UTC Maintenance Programme		2024/25	Local Road Network	Technology	Liverpool City Region
08/06/2020	ERP_10.06_Other	A41 North Phase 1		2024/25	Other	Active/Sustainable	Liverpool City Region
08/06/2020	ERP_10.11_Other	Independently Powered Electrical Multiple Units (IPEMU)		2024/25	Other	EV	Liverpool City Region
08/06/2020	ERP_07.03_Road	Maintenance B and C roads		2024/25	Local Road Network	Maintenance/Renewals	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
08/06/2020	ERP_08.02_Other	EV City Centre Network_Hull		2024/25	Local Road Network	EV	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
08/06/2020	ERP_12.03_Other	Cleethorpes to Immingham Cycle 'Super Highway'		2024/25	Other	Active/Sustainable	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
01/06/2020	ERP_12.04_Other	Suggitts Lane crossing solution		2024/25	Local Road Network	Active/Sustainable	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
08/06/2020	ERP_12.05_Road	NE Smart Network		2024/25	Local Road Network	Technology	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
15/06/2020	ERP_14.09_Roads	A19 Chapel Hadley		2024/25	MRN	Maintenance/Renewals	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
15/06/2020	ERP_14.10_Road	MRN Maintenance - NYCC		2024/25	MRN	Maintenance/Renewals	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
30/06/2020	ERP_14.14_Roads	Kex Gill	MRN Ref case	2024/25	MRN	Maintenance/Renewals	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
20/07/2020	ERP_14.15_Other	Hull LCWIP		2024/25	Local Road Network	Active/Sustainable	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
12/06/2020	ERP_21.01c_Rail	NPR - Hull Corridor Surveys	NPR ref	2024/25	Rail	Rail/IST	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
07/07/2020	ERP_29.03_Rail	Northern Trains - Esk Valley Feasibility Study		2024/25	Rail	Rail/IST	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
27/05/2020	ERP_26.01_Other	Derbyshire - Dronfield Station Car Park Lighting		2024/25	Rail	Rail/IST	Sheffield City Region & Peak District & Midlands Connect
08/06/2020	ERP_18.02_Road	A689 Improvements	MRN Ref case	2024/25	MRN	Road Upgrades	Tees Valley
01/06/2020	ERP_18.06_Rail	Tees Valley - Gauge Clearance	Ref	2024/25	Freight Rail	Rail/IST	Tees Valley
01/06/2020	ERP_18.07_Rail	Tees Valley - Middles & Darlo	Ref case	2024/25	Rail	Rail/IST	Tees Valley

07/07/2020	ERP_29.01_Rail	Northern Trains - Hartlepool Feasibility Study		2024/25	Rail	Rail/IST	Tees Valley
22/06/2020	ERP_17.06_MRN	A34 Cheadle	MRN ref case	2024/25	MRN	Road Upgrades	TfGM
01/06/2020	ERP_22.04_Rail	TPE - Station Enhancements		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
01/06/2020	ERP_22.06_Rail	TPE - TRU Enhancements		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
28/05/2020	ERP_23.02_Rail	Network Rail - Flood Resilience		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
28/05/2020	ERP_23.03_Rail	Network Rail - Merseyrail Quick Wins Station Enhancements		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
28/05/2020	ERP_23.05_Rail	Network Rail - Station Enhancements		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
28/05/2020	ERP_23.06_Rail	Network Rail - Suicide and Safety		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
25/06/2020	ERP_27.06_Rail	TfN - Journey Time Improvements		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
07/07/2020	ERP_27.08_Rail	TfGM - Freight Study		2024/25	Freight Rail	Rail/IST	TfN Strategic Rail & Network Rail
10/07/2020	ERP_29.04_Rail	Northern Train - Small Station Schemes		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
10/07/2020	ERP_29.05_Rail	Northern Train - Infrastructure Small Schemes		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
10/07/2020	ERP_29.06_Rail	Northern Train - Performance Small Schemes		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
22/06/2020	ERP_11.02_MRN	Tyne Bridge & Central Motorway	MRN Ref case	2024/25	MRN	Maintenance/Renewals	TfNE and Scotland
07/06/2020	ERP_11.06_Road	Burnigill Bank		2024/26	Local Road Network	Maintenance/Renewals	TfNE and Scotland
07/06/2020	ERP_11.08_Road	Gateshead Quays Access Road		2024/25	Local Road Network	Road Upgrades	TfNE and Scotland
08/06/2020	ERP_11.10_Road	Gateshead Town Centre Network		2024/25	Local Road Network	Active/Sustainable	TfNE and Scotland
07/06/2020	ERP_11.16_Road	NE EV Expansion		2024/25	Local Road Network	EV	TfNE and Scotland
05/06/2020	ERP_11.17_Road	Sunderland ANPR Sensors		2024/25	Local Road Network	Technology	TfNE and Scotland
05/06/2020	ERP_11.20_PT	Nexus Metro Contactless Solution (Can taken forward as part of TfN IST contactless)		2024/25	Public Transport	Active/Sustainable	TfNE and Scotland
12/06/2020	ERP_11.22_Other	Transforming Cities Fund		2024/25	Other	Active/Sustainable	TfNE and Scotland
28/05/2020	ERP_11.27_Rail	Nexus - Newcastle Central Station East Entrance	Ref Case	2024/25	Rail	Rail/IST	TfNE and Scotland
28/05/2020	ERP_11.29_Rail	Nexus - Sunderland Station Concourse	SDC2_v3.0_132_Rail_Sunderland Station and Track Layout Imp	2024/25	Rail	Rail/IST	TfNE and Scotland
08/06/2020	ERP_20.01_Road	A647 Dawson's Corner and Stanningley By-pass	MRN Ref case	2024/25	MRN	Road Upgrades	WYCA
08/06/2020	ERP_20.07_Road	A639 Upgrade (mining subsidence)		2024/25	Local Road Network	Maintenance/Renewals	WYCA
08/06/2020	ERP_20.08_Road	Regent Street Flyover		2024/25	MRN	Maintenance/Renewals	WYCA
28/05/2020	ERP_20.13_Rail	WYCA - Dewsbury Facilities		2024/25	Rail	Rail/IST	WYCA
23/06/2020	ERP_20.20_Road	A6025 Reconstruction		2024/25	Local Road Network	Maintenance/Renewals	WYCA
20/07/2020	ERP_27.08_Rail	TfN - Bradford Capacity		2024/25	Rail	Rail/IST	WYCA

ERP Appendix 4: Schemes that can start construction within 2-4 years

Date updated	Ref	Scheme Name	SDC Name (if applicable)	Construction on site by 2024/25	Mode/Network	Type	Location
08/06/2020	ERP_04.01_Road	A56 Hoole Road Corridor		2024/25	Local Road Network	Active/Sustainable	Cheshire and Warrington & Welsh Government
08/06/2020	ERP_25.02_Rail	Cheshire & Potteries - Crewe Hub Transfer Deck	HS2 Ref	2024/25	Rail	Rail/IST	Cheshire and Warrington & Welsh Government
09/06/2020	ERP_25.03_Rail	Cheshire & Potteries - Crewe Hub Multi Modal	HS2 Ref	2024/25	Rail	Rail/IST	Cheshire and Warrington & Welsh Government
11/06/2020	ERP_25.04_Rail	Cheshire & Potteries - Crewe Southern Link Road Bridge	HS2 Ref Case SDC2_v3.0_26_Road_Access to Crewe HS2 Improvements	2024/25	Rail	Rail/IST	Cheshire and Warrington & Welsh Government
12/06/2020	ERP_06.01_Other	Cumbrian Local Cycle and Walking Networks		2024/25	Other	Active/Sustainable	Cumbria
28/05/2020	ERP_06.03_Rail	Cumbrian Coast Line further development funding - Energy Coast Rail Upgrade	Ref case SDC2_v3.0_120_Rail_Energy Coast Rail Upgrade	2024/25	Freight Rail	Rail/IST	Cumbria
28/05/2020	ERP_06.05_Rail	Cumbria - Carlisle Station	Ref case	2024/25	Rail	Rail/IST	Cumbria
22/06/2020	ERP_06.10.LLM	Kendal Northern Access Route	MRN Ref case	2024/25	MRN	Road Upgrades	Cumbria
08/06/2020	ERP_06.16_Road	A590 Improvements - Phase 1	SDC2_v3.0_124_Road_A590 South Cumbria Improvements	2024/25	MRN	Road Upgrades	Cumbria
26/06/2020	ERP_28.02_RIS	Accelerated development and delivery of RIS2 schemes		2024/25	SRN	Road Upgrades	Highways England
22/06/2020	ERP_06.04_MRN	A582 Dualling	MRN Ref case	2024/25	MRN	Road Upgrades	Lancashire, Blackburn and Blackpool
01/07/2020	ERP_06.19_Road	M55 to Heyhouses Link		2024/25	MRN	Road Upgrades	Lancashire, Blackburn and Blackpool
01/06/2020	ERP_09.01_Rail	Lancashire - Midge Hall Station	SDC2	2026/27	Rail	Rail/IST	Lancashire, Blackburn and Blackpool
08/06/2020	ERP_10.01_Road	A558 Dualling, Daresbury	SDC2_v3.0_161_Road_A558_Daresbury_Expressway improvements	2024/25	MRN	Road Upgrades	Liverpool City Region
08/06/2020	ERP_10.03_Road	St Georges Gateway		2024/25	Local Road Network	Road Upgrades	Liverpool City Region
28/05/2020	ERP_10.07_Rail	Liverpool City Region - Access for All		2024/25	Rail	Rail/IST	Liverpool City Region
22/06/2020	ERP_10.10_LLM	The Rocket Junction	MRN Ref case	2024/25	MRN	Road Upgrades	Liverpool City Region
08/06/2020	ERP_10.10_Rail	Liverpool Central		2024/25	Rail	Rail/IST	Liverpool City Region
22/06/2020	ERP_07.05_MRN	A1079 Dualling	MRN Ref case	2024/25	MRN	Road Upgrades	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
30/06/2020	ERP_07.04_Road	A1079/A164 Jock's Lodge junction	LLM Ref Case	2024/25	MRN	Road Upgrades	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
08/06/2020	ERP_12.02_Road	Europarc Bus Bridge		2024/25	Local Road Network	Active/Sustainable	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
08/06/2020	ERP_12.06_Road	A180 International Gateway Improvements	SDC2_v3.0_104_Road_A180	2024/25	SRN	Road Upgrades	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
08/06/2020	ERP_13.02_Road	Melton Ross Bridge Replacement		2024/25	Local Road Network	Maintenance/Renewals	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
11/06/2020	ERP_14.05_Road	A65 Coniston Aire Bridge Scheme		2024/25	MRN	Road Upgrades	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
15/06/2020	ERP_14.11_Other	Selby Local Cycling and Walking Infrastructure Plans (LCWIPs)		2024/25	Other	Active/Sustainable	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
15/06/2020	ERP_14.12_Other	Scarborough Local Cycling and Walking Infrastructure Plans (LCWIPs)		2024/25	Other	Active/Sustainable	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
15/06/2020	ERP_14.13_Other	Harrogate Local Cycling and Walking Infrastructure Plans (LCWIPs)		2024/25	Other	Active/Sustainable	N Lincs, NE Lincs, Hull, York, E Riding and N Yorks.
12/06/2020	ERP_21.01b_Rail	Hull Track Renewals		2024/25	Rail	Rail/IST	NPR
12/06/2020	ERP_21.01f_Rail	NPR - Doncaster	NPR ref	2024/25	Rail	Rail/IST	NPR
08/06/2020	ERP_16.01_Road	Sheffield / Rotherham Innovation Corridor	Ref case SDC2_v4.0_254_Road_Sheffield_Rotherham	2024/25	Local Road Network	Road Upgrades	Sheffield City Region & Peak District & Midlands Connect
22/06/2020	ERP_16.09_MRN	Shalesmoor Gateway - A61	MRN Ref case	2024/25	MRN	Road Upgrades	Sheffield City Region & Peak District & Midlands Connect
08/06/2020	ERP_18.01_Road	New Tees Crossing (including Portrack Relief Road as phase 1 potential start 2021/22)	LLM Ref case	2024/25	MRN	Road Upgrades	Tees Valley
08/06/2020	ERP_23.07_Rail	Network Rail LNE - Darlington North LSI	Ref case SDC2_v3.0_135_Rail_Darlington Stn Growth Hub	2024/25	Rail	Rail/IST	Tees Valley
01/06/2020	ERP_17.01_Rail	TfGM - Accessibility		2024/25	Rail	Rail/IST	TfGM

01/06/2020	ERP_17.02_Rail	TfGM - Lostock Park Additional Platforms		2026/27	Rail	Rail/IST	TfGM
01/06/2020	ERP_17.05_Rail	TfGM - Station Enhancements		2024/25	Rail	Rail/IST	TfGM
22/06/2020	ERP_17.07_LLM	Wigan East-West	MRN ref case	2024/25	MRN	Road Upgrades	TfGM
13/07/2020	ERP_17.08_MRN	Bredbury A560 MRN scheme		2024/25	MRN	Road Upgrades	TfGM
13/07/2020	ERP_17.09_MRN	Stockport Station - Greek St Bridge	Ref case	2024/25	Local Road Network	Rail/IST	TfGM
01/06/2020	ERP_22.02_Rail	TPE - New Infrastructure		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
01/06/2020	ERP_22.03_Rail	TPE - Platforms		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
28/05/2020	ERP_23.04_Rail	Network Rail - Merseyrail Station Enhancements		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
08/06/2020	ERP_23.09_Rail	Network Rail LNE - Swinton N&S Junctions		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
25/06/2020	ERP_27.07_Rail	TfN - Northumberland Line	Ref case	2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
20/07/2020	ERP_27.09_Rail	TfN - Doncaster Capacity		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
20/07/2020	ERP_27.10_Rail	TfN - Leeds Capacity		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
20/07/2020	ERP_27.11_Rail	TfN - Sheffield Capacity		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
20/07/2020	ERP_27.12_Rail	TfN - York Capacity		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
07/06/2020	ERP_11.03_Road	Sunderland STC Phase 5 - linking the City to the Port	SDC2_v3.0_249_Road_Sunderland_Strategic_Transport_Corridor	2026/27	MRN	Road Upgrades	TfNE and Scotland
08/06/2020	ERP_11.13_Road	A19 Lane Gain / Drop	SDC2_v3.0_42_Road_A19_Improvements_(Killingworth_to_Silverlink)	2024/25	Local Road Network	Road Upgrades	TfNE and Scotland
08/06/2020	ERP_11.15_Road	A193 Wallsend Road Bridge		2024/25	Local Road Network	Maintenance/Renewals	TfNE and Scotland
12/06/2020	ERP_11.19_Road	A185 South Tyneside		2024/25	MRN	Road Upgrades	TfNE and Scotland
07/06/2020	ERP_11.21_Road	Sunderland Strategic Transport Corridor Phase 4	Ref case SDC2_v3.0_249_Road_Sunderland_Strategic_Transport_Corridor	2024/25	MRN	Road Upgrades	TfNE and Scotland
22/06/2020	ERP_11.30_MRN	Blyth Relief Road	MRN Ref case	0	MRN	Road Upgrades	TfNE and Scotland
22/06/2020	ERP_20.02_MRN	A650 Tong Street	MRN Ref case	2024/25	MRN	Road Upgrades	WYCA
12/06/2020	ERP_20.05_Other	Leeds Future Mobility Zone		2024/25	Other	Other	WYCA
08/06/2020	ERP_20.06_Road	M62 J32 Improvements	SDC2_v3.0_75_Road_M62_Junctions_32_to_30_wbound	2024/25	SRN	Road Upgrades	WYCA
08/06/2020	ERP_20.09_Road	Outer Ring Road North West Leeds Package	SDC2_v3.0_69_Road_Leeds_NWQ_improvements	2024/25	Local Road Network	Road Upgrades	WYCA
08/06/2020	ERP_20.10_Road	Outer Ring Road North East Leeds Package	Supports SDC2 East - West movement (M6-A1 work)	2024/25	Local Road Network	Road Upgrades	WYCA
28/05/2020	ERP_20.14_Rail	WYCA - Leeds Station	Phase 1 ref case SDC2_v3.0_12_Rail_Leeds_Station	2024/25	Rail	Rail/IST	WYCA
28/05/2020	ERP_20.15a_Rail	WYCA - Leeds Bradford Airport	Ref case	2024/25	Rail	Rail/IST	WYCA
13/07/2020	ERP_20.15b_Rail	WYCA - Thorpe Park & White Rose Station		2024/25	Rail	Rail/IST	WYCA
28/05/2020	ERP_20.16_Rail	WYCA - Stations Accessibility		2024/25	Rail	Rail/IST	WYCA
28/05/2020	ERP_20.18_Rail	WYCA - TRU Stations Facilities		2024/26	Rail	Rail/IST	WYCA
22/06/2020	ERP_20.19_MRN	A1237 Dualling	MRN Ref case	2024/25	MRN	Road Upgrades	WYCA
17/07/2020	ERP_20.21_Rail	TfN Depot Capacity (Shipley)		2024/25	Rail	Rail/IST	WYCA

ERP Appendix 5: Schemes where immediate investment in accelerated development would support jobs, boost confidence and maintain an ongoing Northern Infrastructure Pipeline of investment to start by 2026/27

Date updated	Ref	Scheme Name	SDC Name (if applicable)	Construction on site by 2026/27	Mode/Network	Type	Location
08/06/2020	ERP_04.02_Road	A533 Winnington Lane Corridor		2024/25	Local Road Network	Road Upgrades	Cheshire and Warrington & Welsh Government
08/06/2020	ERP_04.03_Road	Chester - Broughton Growth Corridor	SDC2_v3.0_252_Road_Chester - Broughton growth corridor	2026/27	MRN	Road Upgrades	Cheshire and Warrington & Welsh Government
08/06/2020	ERP_04.04_Road	Middlewich Southern and Western Link	SDC2_v3.0_179_Road_Middlewich_Southern_Link	2026/27	MRN	Road Upgrades	Cheshire and Warrington & Welsh Government
08/06/2020	ERP_19.02_Road	Warrington Growth Programme - M62J21a & Birchwood P&R access Ph1	SDC2_v3.0_170_Rail_Birchwood P&R	2024/25	Other	Rail/IST	Cheshire and Warrington & Welsh Government
08/06/2020	ERP_19.06_Road	Warrington Growth Programme - Transforming Town Centre Accessibility		2024/25	MRN	Active/Sustainable	Cheshire and Warrington & Welsh Government
01/06/2020	ERP_25.01_Rail	Cheshire & Potteries - Chester City Gateway		2024/25	Rail	Rail/IST	Cheshire and Warrington & Welsh Government
01/06/2020	ERP_25.05_Rail	Cheshire & Potteries - Middlewich		2026/27	Rail	Rail/IST	Cheshire and Warrington & Welsh Government
12/06/2020	ERP_06.02_Other	Cumbria Strategic Cycling Corridors		2024/25	Other	Active/Sustainable	Cumbria
28/05/2020	ERP_06.04_Rail	Cumbria - Lakes Line	SDC2_v3.0_89_Rail_Windermere and Barrow to Manchester Airport	2026/27	Rail	Rail/IST	Cumbria
26/06/2020	ERP_28.03_RIS	Accelerated development of the RIS3 programme including A1 upgrade Doncaster - Darrington, A64 Hopgrove to Barton and A19		2026/27	SRN	Road Upgrades	Highways England
28/05/2020	ERP_02.01_Rail	Blackpool - North Station		2026/27	Rail	Rail/IST	Lancashire, Blackburn and Blackpool
28/05/2020	ERP_02.02_Rail	Blackpool - South Fylde Line	SDC2_v3.0_114_Rail_South Fylde Line	2026/27	Rail	Rail/IST	Lancashire, Blackburn and Blackpool
28/05/2020	ERP_09.03_Rail	Skelmersdale Rail Link and Town Centre Station'	SDC2	2026/27	Rail	Rail/IST	Lancashire, Blackburn and Blackpool
08/06/2020	ERP_10.02_Road	JLA Eastern Access Road	SDC2_v3.0_99_Road_LJLA_Eastern_Access	2026/27	Local Road Network	Road Upgrades	Liverpool City Region
08/06/2020	ERP_10.09_Rail	Parkside Strategic Rail Freight Interchange	SDC2_v3.0_110_Rail_Freight_Parkside Connectivity	2026/27	Rail	Rail/IST	Liverpool City Region
01/06/2020	ERP_10.09_Rail	Liverpool City Region - Parkside	SDC2_v3.0_110_Rail_Freight_Parkside Connectivity	2026/27	Freight Rail	Rail/IST	Liverpool City Region
25/06/2020	ERP_27.04_Rail	TfN - Liverpool & Hull Docks	Ref - Freight	2026/27	Rail	Rail/IST	Liverpool City Region / N Lincs, NE Lincs, Hull, York, E Riding and N Yorks
08/06/2020	ERP_16.03_Road	A6195/ A635 Corridor Upgrades	SDC2_v3.0_76_Road_North of Barnsley_Doncaster Upgraded Route	2026/27	MRN	Road Upgrades	Sheffield City Region & Peak District & Midlands Connect
12/06/2020	ERP_21.01d_Rail	NPR - Barnsley Deanne Valley Station	NPR ref	2024/25	Rail	Rail/IST	Sheffield City Region & Peak District & Midlands Connect
12/06/2020	ERP_21.01g_Rail	NPR - Tram Train	NPR ref	2024/25	Rail	Rail/IST	Sheffield City Region & Peak District & Midlands Connect
25/06/2020	ERP_27.02_Rail	TfN - Peak Forest Capacity (Buxton)	Ref - Freight	2026/27	Rail	Rail/IST	Sheffield City Region & Peak District & Midlands Connect
25/06/2020	ERP_27.05_Rail	TfN - Tapton Junction (Chesterfield)	Ref - Freight	2026/27	Rail	Rail/IST	Sheffield City Region & Peak District & Midlands Connect
01/06/2020	ERP_18.08_Rail	Tees Valley - Stillington Line Study		2024/25	Rail	Rail/IST	Tees Valley
12/06/2020	ERP_21.01a_Rail	Leeds-Hull Level Crossing Closures		2024/25	Rail	Rail/IST	TfN Strategic Rail & Network Rail
08/06/2020	ERP_23.10_Rail	Network Rail LNE - York Station CMSP	SDC2_v3.0_08_Rail_York_Station	2026/27	Rail	Rail/IST	TfN Strategic Rail & Network Rail
08/06/2020	ERP_23.11_Rail	Network Rail LNE -Newcastle Station Infrastructure	SDC2_v3.0_07_Rail_Newcastle_Station	2026/27	Rail	Rail/IST	TfN Strategic Rail & Network Rail
25/06/2020	ERP_27.01_Rail	TfN - Ditton Capacity (Merseyside)	Ref - Freight	2026/27	Rail	Rail/IST	TfN Strategic Rail & Network Rail
25/06/2020	ERP_27.03_Rail	TfN - Winwick Capacity (Earlestown, Warrington)	Ref - Freight	2026/27	Rail	Rail/IST	TfN Strategic Rail & Network Rail
08/06/2020	ERP_11.07_Road	White Mare Pool Junction Improvements	SDC2_v3.0_40_Road_A194(M) Whitemare Pool Jct Imp	2024/25	SRN	Road Upgrades	TfNE and Scotland
08/06/2020	ERP_11.09_Road	Gateshead Boulevard		2024/25	Local Road Network	Maintenance/Renewals	TfNE and Scotland
08/06/2020	ERP_11.12_Road	A19-A1056 Killingworth interchange	SDC2_v3.0_44_Road_A19_A1056 Killingworth	2024/25	SRN	Road Upgrades	TfNE and Scotland
08/06/2020	ERP_11.14_Road	A19-A193 Howdon interchange	SDC2_v3.0_43_Road_A19_A193 Howdon Interchange Signalisation	2026/27	SRN	Road Upgrades	TfNE and Scotland
28/05/2020	ERP_11.25_Rail	Nexus - East Gateshead Station		2026/27	Rail	Rail/IST	TfNE and Scotland

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