Design Manual NR/GN/CIV/100/08



Investment in Stations



Document verification

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

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Revision Information

Version: 1.0 Date issued: June 2023

Description of changes

Draft issue

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About this document

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

5 / 106

The Network Rail Investment in Stations presents Network Rail's guidance for third parties who may wish to promote a station enhancement and/or which wish to consider funding a station enhancement, either in part or in full.

This guidance is also for Network Rail staff who engage with third parties which are promoting station enhancements.



Section 1 Introduction

This document offers guidance to promoters of railway station enhancements. This guidance is for third parties who may wish to promote a station enhancement and/or who wish to consider funding a station enhancement, either in part or in full. This guidance is also for Network Rail staff who engage with promoting third parties.



Section 2 Station Enhancement Proposals

Discusses a broad set of issues that should be considered when developing a station investment proposal. There are many forms of station investment proposal. Consideration of each of these issues identified here needs to reflect the type of proposal that is being put forward, as well as its specific context. Each one of these issues is elaborated in Section 3 of this guidance.



Section 3 Developing a Proposal

Takes promoters and investors through the staged process of developing a station enhancement proposals. Introduces the work that needs to undertaken at each stage and the rail industry's engagement expectations.



Section 4 Engaging with Network Rail

Sets out how station enhancement promoters and investors should engage with Network Rail at each stage of the development process. Introduces contestable services - those available from a range of suppliers - and noncontestable services - those that only Network Rail can provide.

Contents



	Section 1: Introduction	Page
1.1	Purpose and scope of this documen	t 11
1.2	The role of stations	12
1.3	Type of investment	13
1.4	The industry's vision for stations	18
1.5	Value of station investment	19
1.6	Network Rail's Principles	
	of Good Design	20
1.7	A catalyst for environmental change	21
	Section 2:	Page
	Station Enhancement Proposals	
2.1	Station investment considerations	24
2.2	Approaches to station investment	26
2.3	Rail Network Enhancements	
	Pipeline (RNEP)	29
2.4	Five case business case	
	model and stages	31
2.5	Bringing the stages together	33
2.6	Approvals and consents	35
2.7	Third party station funding	36
2.8	Station Design Guidance	37
2.9	Social value in station design	38
2.10	Community rail	39
2.11	Common challenges	40
2.12	Regulatory framework	42
2.13	Railway industry structure	43

	Section 3: Page Developing a Proposal	Э
3.1	Guidance on developing business cases 50	C
3.2	Strategic assessment 5	1
3.3	Stage 1: Strategic Outline Case (SOC) 52	2
3.4	Stage 2: Outline Business Case .50	S
3.5	Stage 3: Full Business Case 60)
3.6	Post implementation monitoring	
	& evaluation 63	3
	Section 4: Page	Э
	Engaging with Network Rail	
4.1	Options for engaging 66	3
4.2	Output definition 68	3
4.3	Project feasibility 69	9
4.4	Option selection 70)
4.5	Design 7	1
4.6	Construction and handover 72	2

Appendix A	Page
Rail industry objectives	73
Appendix B	Page
Rail industry forecasts	76
Appendix C	Page
Rail industry planning processes	78
Appendix D	Page
Investment process flowcharts	81
Appendix E	page
Case studies	86
Appendix F	Page
Document references	97

Hint and tips

To quickly navigate this document clink on any of the sections or titles on this page.

To return to the contents page you can click on the Double Arrow symbol.

Contents



Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

7/106

Appendix G	Page
Definitions	99
Appendix H	Page
Image credits	102
Appendix I	Page
Promoter's checklist	105



Investment in Stations Section 1: Introduction



1.1 Purpose and scope of this document

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

11/106

1.1.1 Introduction

This document offers guidance to promoters of railway station enhancements and of new stations. This guidance is for third parties who may wish to promote a station enhancement and/or wish to consider funding a station enhancement, either in part or in full. This guidance is also for Network Rail staff who engage with third parties which are promoting station enhancements. This guidance does not address how to raise investment funding, how to develop an investment case, or how to design and then construct a station enhancement. There are additional resources that provide such guidance.

The purpose of this guidance is to help facilitate timely and cost-effective promotion and delivery of enhancements to the station estate.

Guidance is provided on:

- → The processes and procedures that should be followed to develop a station enhancement proposal.
- → The process to be followed to take an enhancement proposal from conception to delivery.
- \rightarrow How and when to engage with Network Rail.

Background information on rail industry structure, policy, processes and standards is also provided.

In the context of this guidance, a station enhancement is an enhancement to an existing railway station. This includes:

- → Measures that increase the capacity and capability of a station to cater for additional or reconfigured rail services, for instance new platforms.
- → Measures that address circulatory capacity and station access, such as remodelling entrances or providing additional entrances.
- → Enhanced facilities such as retail, ticket offices or toilets that improve passengers' experiences.
- → Better integration of stations into local walking, cycling, public transport and road networks, including station car parking.

This guidance is also for proposals to relocate stations from one site to another, as well as new stations.

Station enhancements that are part of a larger enhancement programme, for instance reopening a closed railway or constructing a new railway are not covered by this guidance.

Network Rail and rail industry partners are seeking to make it easier and quicker to make and deliver investment in the railway.



Image 1.2 Liverpool Street station

NR Guidance Suite Reference

Station Design Manual NR/GN/CIV/200/02

1.2 The role of stations

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1.2.1 Multipurpose rail stations

Railway stations are more than places where people access the rail network. Since its creation in the 19th Century, the nation's railway has stimulated economic and social change. Railway stations can:

- \rightarrow Provide social amenity.
- \rightarrow Support and enhance community identity.
- \rightarrow Be a focal point in the built environment.
- \rightarrow Add commercial revenue to the railway.
- → Act as catalysts for housing and commercial development.
- \rightarrow Stimulate economic activity and regeneration.
- \rightarrow Sustainable and inclusive access to the railway.

The railway network is a public asset materially funded by government. A capital-intensive network with assets that last for many decades, the railway needs considerate, constant and consistent maintenance and renewal. Much of the railway and its station estate is part of the nation's heritage. Many more passengers use the railway than 30 years ago. Investment has been needed to support and facilitate this growth: investment in the track, in rolling stock and in the station estate. Passengers' expectations of the facilities that are provided at stations has changed too. The station estate continues to change and be developed. Over the last 20 years the national rail network has seen over 90 new stations constructed and the National Stations Improvement Programme (NSIP) has provided investment in over 600 stations in England and Wales, around 25% of the entire station estate.

Many of these changes have been sponsored by third parties, including local authorities and developers. The record of the last 20 years provides evidence that the right schemes can be funded and delivered. Station enhancement and new stations have supported and facilitated new private sector led residential and commercial developments. This guidance provides advice to third parties on how to best deliver changes to Britain's rail station estate. It offers an explanation of the processes that need to be followed to deliver enhancements to the station estate.



Image 1.3 Epsom station entrance

1.3 Type of investment

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

13 / 106

1.3.1 Community and social amenity

These types of investments are typically small in financial value but often have larger societal, environmental and economic value to communities with local rail services and stations. Examples include;

Kilmarnock Connections: a permanent public artwork to revitalise the station underpass. This project was initiated by a partnership led by ScotRail. Several station buildings have also been subject to investment that has seen various new community uses.

Lowestoft station: an interpretation panel retelling the events of the 1938 Kindertransport arrival of refugees at the station. The panel contains details of the journey made across Europe and subsequent arrival in Lowestoft.

Squire Gates: station has several transformative small scale community-led projects that have improved accessibility, the look and feel of the station and platforms for users and the local community,



Image 1.4 Artwork at Kilmarnock station underpass



Image 1.5 Kindertransport History Panel at Lowestoft station



Image 1.6 Improvements to Squire Gates station

Section 1: Introduction **1.3** Type of investment

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

14 / 106

1.3.2 Accessibility and connectivity

These types of investments address accessibility and connectivity, and can include extended car parking, electric vehicle charging, improved integration with local bus services, enhanced drop off facilities, mobility hub and improved road access. Examples include;

Mirfield Car Parking: a free to use, additional 24-car parking spaces for this busy commuter station in West Yorkshire designed to help connect local people to jobs, training, education, services and leisure as well as reducing congestion and air pollution.

East Croydon Interchange: Improved intermodal interchange between transport modes to provide high quality, accessible and safe facilities for walking, cycling and users of public transport.

Paddington Taxi Interchange: As a preliminary part of the Crossrail works at Paddington Station, the existing deck spanning platforms and railway tracks was transformed from a disused goods depot into a taxi and passenger interchange facility. The station is a Grade 1 listed heritage structure and all modifications to the existing fabric need to be sympathetic to the heritage environment. Queuing space for 60 taxis is provided on the deck with another 10 on the taxi ramp and a dedicated lane on Bishop's Bridge Road bridge for any additional queuing taxis.



Image 1.7 New car parking at Mirfield



Image 1.8 Transport interchange at East Croydon station



Image 1.9 Paddington taxi interchange

Section 1: Introduction **1.3** Type of Investment

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

15 / 106

1.3.3 Permeability and urban realm

These types of investments are aimed at improving the permeability and urban realm creating vibrant and attractive paces in and around stations. These can include new station entrances, improved internal passenger circulation, ticket gate lines, lighting, and soft and hard landscaping. Examples include;

Leeds Southern Access: With steps, escalators and a lift from its concourse deck over the River Aire, Leeds Station Southern Entrance provides a fully accessible route to the city's Granary Wharf area adjacent to the Leeds Liverpool Canal. Customer information screens, ticket vending machines and automated ticket gates are located at the point where the new entrance meets the existing station footbridge.

Doncaster: This included moving the car park to the old Royal Mail Sorting Office site so space could be transformed into an attractive public space. There is a dedicated taxi rank, new car parking and easier drop off facilities, as well as providing much easier pedestrian access into the town centre. There is also better access for cyclists and secure cycle parking.

Sheffield Station: Sheaf Square has two water features erected during the redevelopment of the station, in homage to the steel manufacturing that helped shape the city. The water features create a gateway for visitors and passengers.



Image 1.10 Southern entrance to Leeds station



Image 1.11 Improvements at Doncaster station



Image 1.12 Urban realm improvements at Sheffield station

Section 1: Introduction **1.3** Type of Investment

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

16 / 106

1.3.4 Signature enhancement

These types of investments are typically larger in size and cost than permeability and urban realm type investments discussed previously. Signature enhancements can include concourse expansion, additional retail opportunities, new station facilities, residential and commercial development and over stations development. Examples include;

Newcastle Portico refurbishment: funded by Network Rail to increase the retail space and remove the taxi rank facilities congested with a passenger drop off area. Spaces were created for letting to cafés and shops, with additional space for ticket vending machines and passenger information.

Kings Cross: the redevelopment of Kings Cross in central London is one of the largest regeneration projects in Europe. The 67 acre development is a new London neighbourhood drawing on the area's rich and diverse heritage and strong sense of community. The train station is central to the neighbourhood and has also undergone redevelopment with the western concourse now a larger area for departing passengers and numerous retail outlets.

Bristol Temple Meads: the transformation of the station is a variety of projects collectively referred to as the Bristol Rail Regeneration Programme. It is intended to bring a brighter welcome to Bristol and a better overall experience for passengers.



Image 1.13 Newcastle portico refurbishment



Image 1.14 Kings Cross western concourse



Image 1.15 Sketch of Bristol Rail Regenration Programme

Section 1: Introduction **1.3** Type of investment

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

17 / 106

1.3.5 New station

These types of investments can include urban and rural stations, parkway stations and station servicing new commercial and/or residential development. Examples include;

Edinburgh Gateway: is a station and interchange at Gogar in Edinburgh. It is served by Scotrail and Edinburgh Trams, serving both Gogar and Edinburgh Airport, to which it is connected by the tram line. Secure covered cycle parking for 100 bicycles is provided, along with five cycle lockers, and large passenger lifts to accommodate bicycles.

Worcestershire Parkway: Worcestershire Parkway is a split-level railway station located where the Cotswold and Cross Country railway lines cross near Norton, Worcester. The station has two platforms permitting interchange between the two lines. It is also close to Junction 7 on the M5 and has a 500 space park and ride car park. It was promoted and part funded by Worcestershire County Council.

Reading Green Park: is a new railway station served by Great Western Railway. It is in southwest Reading on the Reading to Basingstoke line, between Reading West and Mortimer stations. It will improve public transport accessibility to Green Park, improve access to developments such as Green Park business park and Green Park Village and improve urban connectivity.



Image 1.16 Edinburgh Gateway station exterior



Image 1.17 Worcestershire Parkway station



Image 1.18 Reading Green Park station

1.4 The industry's vision for stations

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

18 / 106

1.4.1 Our 2030 vision for stations

Together, Network Rail and the Rail Delivery Group have a vision for stations to become more than just access points to railway services and to offer more to their local communities. The collective vision is that by 2030 Britain's network of stations will be something the country can be proud of and that the rail industry will have engrained the vision principles into the day-to-day management of every station and the long-term planning of the network.

"Our vision is for Britain's stations to be places which are inclusive and welcoming, and which encourage everyone to travel by rail.

This vision will be enabled by those working at the station, by the innovative use of technology, and by the involvement of the communities which stations serve"

Stations will be managed in a dynamic and innovative manner, meeting the current needs of today's passengers and local communities and those of future generations. At the midpoint of this 15 year vision the industry was re-engaged to both assess progress and review the nine principles that underpin the vision. Progress was noted and the nine principles were revalidated. An updated version of the vision for stations is anticipated to be published in the near future.

It is suggested that third party promoters are mindful of these principles as they develop their proposals.

P1 Customer focussed	P2 Intelligent use of technology	P3 Seamless journey experience
There has been significant investment in stations, but the vision aims to build on this.	The latest information and ticketing technologies are continuously utilised to support and enhance the experience at stations.	Ensure stations play their role as multi modal transport hubs which deliver seamless end- to-end journeys whatever the travel mode used to get to and from them.
P4 Reflect local needs and opportunities	P5 Safe and secure environment	P6 Entrepreneurial spirit
Tailor stations to reflect local needs and characteristics while still being part of a recognisable national network.	Ensure all stations and their localities are places where every user can feel safe and secure	View stations as catalysts for innovation and entrepreneurship, that can stimulate economic development and enhance the railway and its communities.
P7 Flexible and sustainable long-term stewardship	P8 Shared industry know- how	P9 Optimised and efficient network of stations
Operate stations with the flexibility to adapt to change and deliver an inclusive and sustainable environment, with energy conservation in mind.	Share knowledge and experience of what works best at stations in meeting users' diverse needs in the most efficient and effective manner.	Realise the full value of every station while minimising inefficiencies through investment and operation based on objective and informed decision making.
Figure 1.1		

The Rail Industry Vision for Stations

Section 1: Introduction 1.5 Value of station investment

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

19 / 106

1.5.1 A catalyst for economic growth

Independent research has identified that successful station investment has been enabled by very strong partnerships formed between third parties and the rail industry. Third parties include local authorities and private sector developers. These partnerships employed collaborative working approaches, had complementary goals and visions and maintained equal buy-in from their organisations in order to deliver these station investments so successfully. These enablers can assist in overcoming common barriers encountered during station investment projects, leading to positive outcomes for all parties contributing funding and the passengers and local communities that they represent.

The research found that it remains a challenge to fully demonstrate and quantify some of these impacts. The case for investment will be stronger still if:

- → Consistent, quantified pre- and post-investment analysis is undertaken to provide clear 'before' and 'after' understanding of the station's characteristics, issues and impacts.
- → A consistent record-keeping approach is adopted to accurately record emerging outcomes and key information about station investment projects across the railway estate.

Findings from the research highlight how important it is that organisations involved in developing and delivering station investment projects adopt the enablers of success described in the report, such as establishing key points of contact at each organisation, treating investigatory work with importance and working in collaboration to navigate the rail industry's processes and procedures in order to effectively deliver successful station investments.



Image 1.19 Station Investment: A catalyst for local economic growth

References and Resources

The Value of Station Investment https://www.raildeliverygroup.com/

1.6 Network Rail's Principles of Good Design

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

20/106

1.6.1 **Principles**

Our Principles of Good Design, sets out ten core principles which should be analysed, defined and responded to in the development of any Network Rail asset as part of a planned process.

Promoters of Investments in Stations should take account of our Good Design principles when developing propositions. The symbols in Image 1.20 denote the key principles of Network Rail's Good Design guidance.

1.6.2 A planned process

The planned process using Our Principles of Good Design, helps enhance the quality of the assets we own by considering each project from a variety of different perspectives. To achieve this, the project team should analyse the existing context of the project before deciding on the requirements.

Our Core Principles are overarching and should inform the initial analysis for all stations.

1.6.3 **Design Advice Panel**

Our Principles of Good Design provides advice on assessing the suitability of projects for Design Review, and the procedure for undertaking reviews with Network Rail's independent Design Advice Panel (DAP), which is run by the Design Council. The final section of the document clarifies the process for responding to Our Principles of Good Design. Larger or high risk schemes will also be referred to the Design Advice Panel for review.



Design document and symbols

Network Rail Our Principles of Good Design https://www.networkrail.co.uk/

Design Advisory Panel https://www.networkrail.co.uk/

1.7 A catalyst for environmental change

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

21/106

1.7.1 Investing for environmental sustainability at our stations

New investment provides an opportunity to change the way that we design, build and operate our assets so that we minimise our whole-life carbon and air pollution emissions and make an important contribution to the UK's target for a Net Zero Economy by 2050.

Our Environmental Sustainability Strategy (Fig 1.7) sets out our environmental and sustainability objectives and should be considered a key reference document for all new railway related investment projects. A low emission railway is one of our four key priorities. The others are having a railway that is resilient to climate change, that supports improved biodiversity and minimises waste and the use of materials.

Air quality is a critical issue for communities across Network Rail regions, and one that we expect to continue to become an ever more important issue for

NR Guidance Suite Reference

Network Rail Environmental Sustainability strategy 2020-2050 https://www.networkrail.co.uk/

References and Resources

Measuring Rail Infrastructure Carbon https://eprints.whiterose.ac.uk/197546/1/Measuring Railway Infrastructure Carbon.pdf the nation's health. Active travel is an important part of sustainable end to end journeys, which also helps to keep the air cleaner by reducing emissions around stations. We are committed to working with local authorities, operators, and at all of our major stations to deliver facilities such as bicycle and mobility hubs to support passengers who want to walk and cycle to and from our stations.

In this strategy there is an aspiration to go even further by generating local renewable energy and embedding whole-life carbon data into our decision making on investments.

We encourage investors to work with us to reduce development emissions and improve air quality as we also minimise emissions, improve the air quality at our stations and deliver a more sustainable and resilient railway. "Our ability to manage and reduce emissions at DfT and NR portfolio levels hinges on our ability to measure carbon at project level.

Quality project-level whole life carbon data will increasingly be required to support investment decisions and are considered essential to our understanding of how to plan, design, deliver and operate transport infrastructure."

Department for Transport



Image 1.21 Network Rail Environmental Sustainability Strategy



Investment in Stations Section 2: Station Enhancement Proposals

2.1 Station investment considerations

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

2.1.1 Investment considerations

This section presents broad considerations that should be taken into account when developing a station investment proposal. There are many forms of station investment proposal. Consideration of each of the topics needs to reflect the type of proposal that is being put forward, as well as its specific context. These topics are described in more detail in Section 3.

Any station enhancement proposal that utilises public sector capital funding should follow the approaches and methods set out the Treasury's Green Book, which is the government's guidance on appraising and evaluating policies, programmes and projects that are dependent on the public purse. How the Green Book process is applied to investments in the transport sector is set out in the Department for Transport's Transport Business Case Guidance.

Transport Scotland's Scottish Transport Analysis Guide (Scot-TAG) is the relevant guidance for Scotland. Any projects in Wales that are seeking Welsh Government funding should have regard to Welsh Government policies and addresses well-being in Wales.

While wholly private sector funded station enhancement proposals might not necessarily follow government business case guidance, promoters should be mindful that Network Rail is a public body and as such its processes and procedures for developing and implementing capital projects are consistent with the approaches adopted and applied across the public sector. A central principle of government guidance is that it should be applied proportionately, so for smaller enhancement proposals, all the steps set out in this section and in Section 3 need not necessarily be followed in full.

2.1.2 The case for change and objectives

The first step in developing a station investment proposal is to be clear about why an investment is needed, i.e. what is the case for change. Establishing the case for change usually involves considering the current and future socio-economic and transport context of the area served by the station investment. The question of why an investment in the railway is being considered rather than in another transport mode, or even in another sector of the economy, should be addressed.

Promoters of investment in stations should identify the specific objectives of their scheme set within the context of wider objectives for transport in the area served by the station, as well as the government's objectives for the railway as a whole.

Further detail on the government's objectives is provided in Appendix A.

Scheme objectives should set out what it is intended that the investment will achieve. These might include:

- \rightarrow Increasing usage of a station.
- \rightarrow Increasing passenger satisfaction at a station.
- → Increasing revenue generating opportunities in the grounds of a station.
- $\rightarrow\,$ Increasing station capacity, for example to safely facilitate future growth in demand.
- → Creating a better interconnected network by providing new travel options.
- → Increasing links to new and growing communities or commercial areas.
- → Encouraging new residential or commercial development in the local area.

References and Resources

The Green Book (2022) HM Treasury Transport Business Case Guidance Department for Transport Scottish Transport Analysis Guide (Scot-TAG) Transport Scotland Welsh Transport Appraisal Guidance (WeITAG) Welsh Government Section 2: Station Enhancement Proposals 2.1 Station investment considerations

Investment in Stations NR/GN/CIV/100/08

25 / 106

100 series

June 2023

2.1.3 **Develop options**

To show these objectives can be achieved through investment in stations, promoters should:

- → Establish potential investment options that could be implemented.
- → Determine the future and existing demand for rail travel with and without the intervention.
- \rightarrow Assess which of the potential options for rail investment is appropriate.
- \rightarrow Consider if and how the proposed option would affect the existing railway.
- \rightarrow Determine how the station enhancement proposal would help meet the wider objectives for transport in the area served and for the railway as a whole.

Work should be undertaken to develop a whole-life cost of the proposal. This should consider the cost of operation, maintenance and renewal as well as the cost of implementation. Consideration should be given to any changes in the operating costs of railway services, not just the costs of operating the enhanced facility.

2.1.4 Understand the demand

Any proposal for station investment should consider the existing and future market for rail travel in the area and develop a proposal to suit the needs of this demand. Proposals should consider whether the investment would change how people use the rail network (for example, passengers choosing to use an enhanced station rather than their current station), or whether it would induce further demand, e.g. by removing constraints that are suppressing the use of the railway network.

Further detail of the rail industry's approach to forecasting demand is provided in Appendix C.

Understanding the impacts 2.1.5

The potential impact of a proposal on existing and planned rail services and stations should be assessed. As well as positive impacts, potential negative impacts need to be considered too. Recognising that the work undertaken to assess impacts should be proportional to their potential scale, the assessment can use a combination of quantitative and qualitative methods. An output of work to understand the impacts is a view on the value for money of the proposal.

2.1.6 Station enhancement workstreams

In recent years, Network Rail has had several stations specific enhancement workstreams.

These include:

- \rightarrow Access for All.
- → National Station Improvements Programme.
- \rightarrow New Stations Fund 3.
- → Putting Passengers First.
- → Station Commercial Project Facility.

While each of these workstreams has their own application requirements, each is consistent with the overarching public sector approach to developing and implementing spending proposals. Should a promoter wish to apply to a particular funding stream, they should familiarise themselves with that funding stream's particular requirements.

Section 2: Station Enhancement Proposals 2.2 Approaches to station investment

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

26 / 106

2.2.1 Approaches to station investment

There are three potential approaches for investing in station facilities:

- \rightarrow Investing in an existing station.
- \rightarrow Relocating an existing station.
- \rightarrow Opening a new station.

2.2.2 Investing in an existing station

Investing in an existing station can often be the most suitable option to meet the identified transport need. Investments may be small or large and can take many forms ranging from low-cost initiatives such as improved lighting to higher cost, more substantial options such as creation of new entrances or increased parking provision. Issues that promoters should consider include:

- → Who owns and operates the station: typically Network Rail owns the station and a Train Operating Company (TOC) is in charge of the dayto-day operation of the station, although there are exceptions to this.
- → How works may affect operation of the railway: consideration should be given to impacts during construction as well as operation.
- → Access and circulation: how accessibility to the station and circulation within the station may be affected by the enhancement works.

2.2.3 Relocating an existing station

Changes to land use and settlement patterns can result in existing stations no longer being best located to meet demand. This is one reason why a proposal is made to relocate a station.

Proposals to relocate a station should show how the proposal better meets demand, as well as demonstrate value for money. A relocated station should be expected to lead to increased accessibility and attract new passengers. Consideration should be given to the catchment area of the relocated station and how to address any negative impacts on users of the current station. Compared with enhancing an existing station, relocating a station can potentially help mitigate negative impacts on the operational railway during construction.



Image 2.1 Investing in an existing station — Example with new footbridge and expanded ticket office



Image 2.2 Relocating an existing station

Section 2: Station Enhancement Proposals 2.2 Approaches to station Investment

Investment in Stations NR/GN/CIV/100/08

27 / 106

100 series

June 2023

2.2.4 **Opening a new station**

Due to the size of financial investment needed for a new station, it is key that all the costs, benefits and impacts of the scheme are fully understood. Assesment of capital costs associated with construction, ongoing operating costs and how these would be funded is also required to determine the affordability of the scheme.

An understanding of current and any planned service pattern change is essential for a successful new station proposal. Relevant TOCs that would operate services should be engaged from the start of the process. A Station Facility Owner (SFO), usualy a TOC, would also need to be identified.

Existing infrastructure constraints can be a major determinant of the viability of new station proposal. Collaboration at the earliest opportunity with Network Rail is advised to help determine the scheme's feasibility.

2.2.5 **Network Rail design guidelines**

Network Rail has detailed guidance on the design of station enhancements and new stations. Promoters should consider this guidance as they develop their proposals.

2.2.6 Network Rail hub stations

Small to medium-sized stations constitute around 80% of the 2,500 on Britain's railway. These range from small halts in rural locations to medium-sized stations in suburban settings.

Our new hub station illustrated in Image 2.4, provides an adaptable solution that can respond to site specific conditions and contexts to enable the efficient design and delivery of facilities at sites already occupied by a small to medium-sized railway station, as well as at new build sites not yet served by an existing facility.



Image 2.3 Planning a new station

NR Guidance Suite Reference

Design Manual for Medium to Small Stations NR/GN/CIV/200/02 Medium to Small Station Implementation Manual

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Section 2: Station Enhancement Proposals 2.3 Rail Network Enhancements Pipeline (RNEP)

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

29 / 106

2.3.1 Rail Network Enhancements Pipeline

The Rail Network Enhancements Pipeline (RNEP) sets out a staged approach to proposal development. The RNEP stages are the rail industry's application of the DfT's approach to transport business cases.

The stages are Determine, Develop, Design, Deliver, and Deploy. Each stage is separated by a formal decision point.

Enhancements might enter the pipeline at any stage, provided sufficient work has been undertaken to allow progression through the immediately preceding decision point. This is particularly relevant for marketled proposals promoted by third parties which might need government support to progress. The point at which a market-led proposal is added to the pipeline is determined in consultation with the promoter on a case-by-case basis.

Further detail of the rail industry's planing processes is provided in Appendix C.

Rail Network Enhancements Pipeline	eferences and Resources	
DfT	ail Network Enhancements Pipeline	

Figure 2.1 RNEP Summary

Stage 1 Determine	Determine is the first stage of the RNEP process. The focus of this stage is on establishing the case for an intervention. This means identifying both the outcomes sought and considering a range of potential interventions which could			
Decision to Develop	deliver these benefits. The emphasis should be on establishing a strategic case. The Decision to Develop is supported by a Strategic Outline Case (SOC)			
Stage 2 Develop	Develop considers the feasibility of the investment. The aim of this stage is to identify how best to realise the anticipated benefits considering a range			
Decision to Design	of options. A high-level relative assessment of the deliverability, costs and benefits of those options is required. The outcome should be a preferred option, supported by a credible economic and financial case.			
	The Decision to Design is supported by an Outline Business Case (OBC).			
Stage 3 Design	Design progresses the scheme to detailed design. Detailed cost estimates, plans and programming is undertaken. Planning consents are secured. Work			
Decision to Deliver	will be undertaken to prepare commercial arrangements, including for any service changes.			
Stage 4 Deliver	The aim during the Deliver stage is to complete the enhancement, whilst maintaining regular milestone, risk and cost reporting to the joint programme			
Acceptance	and portfolio governance. The focus of activity is managing the delivery, including securing and managing contractors to deliver the works.			
Stage 5 Deploy	Deploy is the final stage of the pipeline. The Enhancements within this stage will have been completed. Attention should turn to the on-going operation of the enhancement and monitoring and evaluation.			

Section 2: Station Enhancement Proposals 2.3 Rail Network Enhancements Pipeline (RNEP)

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

30 / 106

2.3.2 Potential development routes

There are two potential development routes depending on how a station investment project is to be funded:

Public sector funded: projects that would be implemented wholly or in part with public sector funding should expect to follow the RNEP stages. Network Rail will work with promoters to develop a costed programme for each stage of work. There is opportunity for smaller scale public sector funded projects to progress directly to later stages. Such projects would typically have a single option and not require formal value for money assessment supported by cost benefit analysis.

Private sector funded: for projects that would be developed and implemented entirely by the private sector funding, there is an opportunity to progress with fewer formal stages. Should a business case and a preferred single option be agreed there is the opportunity to enter the RNEP delivery process at later stages.

In either case, promoters should engage with Network Rail as early as possible.



Image 2.5 Celebrating the completion and opening of King's Cross Square

2.4 Five case business case model and stages

Investment in Stations NR/GN/CIV/100/08

31/106

100 series

June 2023

2.4.1 Five case model summary

The Five Case Business Model described in the DfT Transport Business Case Guidance is used to structure business cases for all major public sector transport investment proposals. The Five Case Model is also used to structure business cases in Scotalnd following Transport Scotland's Scottish Transport Analysis Guide (Scot-TAG) and in Wales as per the Welsh Government's Welsh Transport Appraisal Guidance. The model comprises five dimensions.

References and Resources

Transport Business Case Guidance DfT

Value for Money Framework DfT

Transport Analysis Guidance (TAG) DfT

Scottish Transport Analysis Guide (Scot-TAG) **Transport Scotland**

Welsh Transport Appraisal Guidance (WelTAG) Welsh Government



The strategic dimension describes how the proposal will contributed to achieving strategic priorities, as well as to how it aligns with existing policies, programmes, and projects in government and in the geographic area. It establishes the case for change.

Providing an overarching framework, the strategic dimension drives all aspects of the business case.



Economic dimension

The economic dimension includes the appraisal of the available options and provides an understanding of potential costs and benefits, as well as any uncertainty around their impacts.

The Department for Transport's Analysis Guidance (TAG) and Value for Money framework provide tools to develop the economic case. Patronage forecasts underpin the assessment of benefits and promoters should be mindful of the rail industry's approach to forecasting demand documented in the Passenger Demand Forecasting Handbook.

Financial dimension

The financial dimension presents the financial profile of selected options and their impact on public sector budgets and accounts.

Consideration should be given to whole life costs including implementation costs and postimplementation operating costs, as well as the cost of maintenance and renewal. The financial dimension focusses on the proposal's affordability, funding arrangements and accounting issues.



Commercial dimension

The commercial dimension provides evidence on the viability of the proposal and proposed procurement strategy that will be used to engage the market. It should also set out the financial implications of the procurement strategy, alongside providing evidence on risk allocation, transfer and contract timescales and implementation timescales.



Management dimension

The management dimension should set out how a proposal will be delivered. It should define what needs to be done, why, when, and how, with measures in place to identify and manage any risks.

The management case should cover planning, governance structures, risk management, communications and stakeholder management, benefits realisation and assurance.

Section 2: Station Enhancement Proposals **2.4** Five case business case model and stages

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

32 / 106



2.4.2 A staged approach to business cases

A business case typically follows a three stage process as established in the Green Book, from strategic outline case at feasibility stage through to a full business case in support of a decision to deliver. This is reflected in the DfT's Transport Business Case guidance and in Network Rail's Rail Network Enhancement Pipeline (RNEP) process, as well as Transport Scotland and Welsh Government guidance. An investment decision point is included at the conclusion of each stage and before moving to the next to avoid abortive work.

The staged approach allows constructive challenge to support the improvement of the proposals, with the goal to increase the likelihood of an intervention that has a reasonable and timely delivery timescale, meets the objectives set for it, is value for money and affordable. As well as proceeding to the next stage, potential outcomes of an investment decision point are that a project should be subject to further development work before moving to the next stage, or that the project should not proceed as proposed with alternative solutions considered.

Stage 1 – Strategic Outline Case (SOC) This stage establishes the potential scope of the intervention, setting out the case for change and confirms how the investment will further promote an organisation's policies and wider government objectives. Scheme objectives should be determined. Both the strategic and economic dimensions will be developed, with a focus on the strategic dimension. At this stage, the further three dimensions are typically only outlined.

Stage 2 – Outline Business Case (OBC) The OBC builds on the SOC by checking and confirming the SOC conclusions, with more detailed assessments made of the shortlisted options. Both the strategic and economic dimensions should be revisited and fully competed against the specification set out in the DfT's Transport Business Case guidance. The financial dimension should also be fully developed and complete. The commercial dimension should be well developed and preparations for potential contracts should be created. Consideration for the successful delivery of the project should also be described in the management dimension, but does not need to be fully completed.

Stage 3 – Full Business Case (FBC)

The FBC is the final stage of the process. The FBC should confirm the conclusions made in the SOC and OBC. All five dimensions should be updated and fully complete. The decision on whether or not to proceed and let contracts to implement the proposal is made at the investment decision point.

Figure 2.2 Transport business case process

2.5 Bringing the stages together

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

33 / 106

2.5.1 RNEP and the DfT Business Case guidance

The Rail Networks Enhancement Pipeline (RNEP) process is the railway's application of the government's staged approach to business cases.

As shown in Figure 2.3, the first three stages of the RNEP process align with stages 1-3 of the DfT's Transport Business Case guidance which is used for any project seeking government funding. While it is expected that the RNEP process will be followed for all major public sector funded station enhancements, there is opportunity for smaller public sector funded enhancements and private sector funded schemes to enter the process at later stages.

The first three stages, Determine, Develop and Design are characterised by increasing levels of detail and understanding. By the time the final two stages of Deliver and Deploy have been reached all investment decisions should have been made and the focus then on building and operating the enhancement and realising the anticipated benefits.

2.5.2 PACE and the RIBA Plan of Work

Promoters of station enhancement projects should familiarise themselves with Network Rail's Project Acceleration in a Controlled Environment (PACE). This is the process that Network Rail expects third parties to follow as they develop the specification of their proposal. PACE is a staged approach to specifying an intervention. It has replaced Governance for Railway Investment Projects (GRIP).

Following PACE, for each enhancement proposal Network Rail will appoint a Project Sponsor and a Project Manager. A Project Sponsor has delegated authority to manage capital investment and deliver improved railway outcomes in the most effective way. The Project Manager is responsible for Network Rail's day-to-day activity progressing a project through the PACE process.

Promoters will also be familiar with Royal Institution of British Architects (RIBA) Plan of Work, which sets out a staged process for designing, constructing and operating building projects.

NR Guidance Suite Reference

Project Acceleration in a Controlled Environment PACE NR/L2/P3M/201 issue 2

2.5 Bringing the stages together

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

* There are comparable

stages in Transport

Scotland and Welsh Government guidance.

34 / 106

RNEP		Stage 1: Determine	Stage 2: Develop	Stage 3: Design	Stage 4: Deliver	Stage 5: Deploy
		Establish need for intervention	Consider feasibility	Detailed design and cost estimates	Complete works	Service changes to make most of intervention
Aims & objectives		Identify and agree desired outcomes	Identify preferred option	Secure consents	Manage risks and changes	Formal evaluation and lessons learned
			Technical work to inform selection of preferred option	Commercial arrangements		
PACE (Project Acceleration in a Controlled Environment	Stage 0: A Project Initiation		Stage 1: Strategic Development & Project Selection	Stage 2: Project Development & Design	Stage 3 :Project Delivery	Stage 4: Project Close
Appoint the team		(Project Sponsor, etc.)	Determine baseline	Develop the single option	Delivery of project	Transfer of asset to operator
Aims & objectives	Prepare Project Management Plan		Identify constraints	Produce approved ready for construction design	Testing and commissioning	Project Manager and Sponsor close project
			Determine single option		Asset enters service	
DfT Business Case Stages*	Stage 0: Strategic Assessment (optional)	Stage 1: Strategic Outline Case	Stage 2: Outline Business Case	Stage 3: Full Business Case		Monitoring & Evaluation
				Finalise funding.		

Identify preferred option and Determine Make the case finance and Initiate monitoring determine value for money strategic context for change deliverability Aims & objectives Identify and assess Consider funding, finance and Ex post evaluation and **Finalise procurement** potential options deliverability benefits realisation strategy

Figure 2.3

Relationship between RNEP, PACE and the DfT Transport Business Case Guidance

2.6 Approvals and consents

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

35 / 106

2.6.1 Determining approvals and consents

The approvals and consents regime for station enhancement projects is determined by legislation, regulation and Network Rail processes. Promoters should work with their Network Rail Sponsor and Project Manager to determine what approvals are required and how these are obtained, as well as agree how necessary consents will be obtained.

For a new station to become a usable part of the national rail network, its operator will need to comply with the conditions of The Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS) by obtaining safety authorisation from the Office of Rail and Road (ORR). Major works to existing stations and the construction of any new station will need to comply with the Common Safety Method for Risk Evaluation and Assessment (CSM Regulations).

Any development of, or change to, Network Rail's property requires approval from Network Rail and might also need approval from the ORR and the Station Facility Owner (SFO). Approvals that might be required include the following:

Technical Design Approvals: the approval process is typically managed by the Network Rail Project Manager.

Landlord's Approvals: approval for third party works and impacts on Network Rail property controlled by the asset owner.

Station Change Procedure: where a formal change is required to the agreement with the SFO for access and occupancy arrangements within station premises. This requires approval from the ORR.

Closure: where part of a contracted facility is reduced or removed as part of a works proposal. This should be agreed formally with the ORR, the DfT and the affected TOCs.

2.6.2 Permitted development rights

As a Statutory Undertaker, Network Rail has permitted development rights to undertake certain works without further planning permission. These can include alterations and modifications to existing station buildings. There is no such exemption under Listed Building Legislation, where any works affecting such buildings normally require separate consent prior to commencement.

Where permitted development is being used, early consultation with the Local Planning Authority (LPA) is important. The LPA is still able to exert an influence over the design and location of any the proposed works, and in certain instances 'prior approval' from the LPA might also be required before construction starts. The construction of new stations is not usually possible under permitted development rights. In such cases either a planning consent, Development Consent Order (DCO), a Transport and Works Act (TWA) Order, or a Transport and Works Act Scotland (TAWS) Order may be needed. Any proposal should be assessed to confirm that the correct approach is taken as various thresholds and differences apply depending on the type of development proposed and where it is in Great Britain.

2.6.3 Joint ventures

Any station development that involves a Joint Venture (JV) with a developer may require a traditional planning application or one of the alternative planning procedures set out on this page to be followed.

2.6.4 Specialist planning advice

Interpretation of the various planning acts and related legislation is a specialised field. Accordingly, promoters should consider getting specialist advice. Proposals should always be referred to the National Town Planning Team at Network Rail for guidance on the use of the legislation, including when permitted development rights apply. The project budget and timing implications of the planning approach should be checked at an early PACE stage to understand the likely complexity and to identify risks to cost and programme.

Section 2: Station Enhancement Proposals 2.7 Third party station funding

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

36 / 106

2.7.1 Third party funding

While many station enhancement proposals will be funded by public sector grant funding, there is growing interest in third party funding to either supplement public sector funding, or to fund an enhancement outright.

Approaches to raising third party funding for station developments are dominated by concepts of land value capture. Land value capture enables communities to recover and reinvest land value increases that result from public investment. It can be supported by value-enhancing principles of transit oriented development, rezoning and urban regeneration initiatives, and reimagining stations as destinations in their own right.

There is also inherent value in the assets associated with stations including land rights, air rights and destination-based service offerings, that can be monetised to fund or co-fund station development. Mechanisms such as the Community Infrastructure Levy, direct developer contributions and development joint ventures can also be used to capture value. There is no 'one size fits all' approach to value creation and value capture.

2.7.2 Value creation and capture

Third-party funding of station enhancement is predominantly a function of two factors:

Value: the creation of value (or recognition of unrealised value) associated with the station or that results from its enhancement.

Capture: the monetisation of that value (i.e. value capture) over the short, medium or long term and the application of those funds towards the initial station development, sometimes with the inclusion of financing to bridge cash flow differences.



Image 2.6 Redevelopment of Kings Cross station
Section 2: Station Enhancement Proposals

2.8 Station Design Guidance

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

37 / 106

2.8.1 Network Rail station design guidance

Network Rail has developed Station Design Guidance for promoters, designers and planners of new railway station infrastructure. The guidance outlines factors to determine physical space within stations and other components that need to be considered to achieve world-class station design.

The guidance is particularly relevant at the early design stages of a project but also sets out areas that should be considered in greater detail as a project evolves through the PACE stages.

Section 2 of the guidance considers project definition with a strong focus on the importance of specific scheme objectives and how these might be achieved. The importance of understanding forecast demand is stressed, along with understanding the impact of the proposal on existing and planned rail services.

The design guidance covers investing in an existing station, station relocation and new stations. Implementation issues are covered, such as station freeholder, leaseholder and operator, whether the planned enhancement affects the operational railway, and whether or not the planned enhancement work will affect access to and from the station. Section 3 introduces the six station categories and considering station planning and sizing, including topics such as passenger density, volume and movement of passenger demand, with a focus on passenger 'run off' and queueing zones. Operational concepts including how passenger flows change at different times of the day, at peak times and in terms of high stress occasions under abnormal, degraded and emergency situations are also discussed.

Putting the passenger first is paramount in station planning guidance. The main drivers for overall passenger satisfaction are generous barrier-free spaces, information, facilities, and high-quality environments for everyone so that passengers can use the railway safely, easily and with dignity.

Types of passenger facilities are set out, along with how these should be integrated with social and commercial activities expected at stations. The importance of creating a sense of place, that considers the local context, sustainability, heritage, and safety and security is identified.

Section 4 presents guidance on station elements and considers issues such as end-to-end passenger journey planning, public realm, intermodality and interchange, vertical and horizontal passenger circulation, platforms, stations servicing and access, station retailing, and staff and operations facilities. Section 5 covers project execution. It focuses initially on whole life design, from preliminary design to construction and beyond to allow safe maintenance cleaning and eventual demolition. It then describes rail system interfaces, such as power, communications, trackside services equipment, rolling stock and train dispatching, customer information screens and wayfinding alongside the role of Building Information Modelling and Management (BIM).

Section 6 provides a toolkit of considerations and requirements for designers and project managers to successfully develop a project through the initial stages of the design life cycle.

The Station Design Guidance references Network Rail's wider suite of design guidance and standards that provide further detailed advice on a wide range of station planning and design considerations.

NR Guidance Suite Reference

Station Design Guidance NR/GN/CIV/100/02

Station Masterplanning Guidance NR/GN/CIV/100/07

Medium and Small Station Implementation Manual NR/GN/CIV/100/09

Parking & Mobility Guidance NR/GN/CIV/200/11

Third Party Funded Railway Car Parks Design Manual NR/GN/CIV/200/12

Section 2: Station Enhancement Proposals

2.9 Social value in station design

Investment in Stations NR/GN/CIV/100/08

38 / 106

100 series

June 2023

2.9.1 Social value

Social value (SV) is the quantification of the relative importance that people place on the changes they experience in their lives. Some, but not all, of this value is captured in market prices. This definition is provided by Social Value UK and has been adopted by Network Rail in its Social Value Framework. Social value seeks to capture the economic, environmental, community and social impacts that people experience as a result of an activity, project, programme, or intervention. Impacts may be positive or negative. Examples of positive SV include better experiences, broader benefits from training and education, and higher quality services. It may also include addressing any adverse impacts, such as by decreasing the actual or perceived threat of crime.

Railway stations are locations that experience large flows of people and provide an important service. By entering and exiting stations, the public interacts with station infrastructure, surroundings, and services, often on a daily basis. Station improvements such as ramp and lift installations, enabling better access for wheelchair users, implementing green space, and improving people's mental health and well-being can therefore lead to wide scale social value creation.

Social value can also be created through the implementation strategy for example, by considering social value within supply chains, for instance from procuring services and goods from local suppliers.

Capturing social value data is important to enable forecasting, measurement, and evaluation of both the positive and negative social, environmental, and economic impacts of a contract, project, programme, or organisation's activities. It enables organisations to understand, and ultimately maximise the positive social value generated by their activities. Social value appraisal is not an alternative approach to economic appraisal. Rather it is complementary by adopting a broader definition of value for money, with particular emphasis on changes in welfare or wellbeing.

Considering social value early in the design process increases the likelihood of infrastructure change providing social value and maximises social value resulting from such initiatives.

Social value creation is not just associated with new assets. There are many examples where social value at stations has been created through community-led initiatives.

Social value

Sentiment Public engagement and peception

Community Engaging and consulting local community

Design Local sourcing of materials, public features of the asset

> Supply chain Ethical and responsible procurement

Skills Skilling and workforce practices

Employment Diversity in recruitment and employment growth

> Environment Reduction in material usage, waste generation, emissions

Asset Whole life consideration of the constructed asset

Figure 2.4 Social Value in station design

References and Resources

The Social Value Framework **Network Rail**

Section 2: Station Enhancement Proposals 2.10 Community rail

Investment in Stations NR/GN/CIV/100/08

39 / 106

100 series

June 2023

2.10.1 Introduction

Community rail is all about helping communities get the most from their local railway. Working alongside local, regional and national partners, Community Rail Partnerships (CRPs) and other groups across Britain play an important role supporting social inclusion, community wellbeing and economic development, and promoting rail as a key part of sustainable, healthy travel.

CRPs bring together local groups and partners from the rail industry to deliver a wide range of rail activities. They deliver a broad range of activities to engage and benefit local people, communities and support the development of their local railway. Community Rail Network (CRN) administers a number of grant schemes, on behalf of national and regional government and sometimes industry partners (see also 2.13.4). Each is only open to certain Community Rail Network members, according to specific criteria applying to each fund.

2.10.2 Community-led station funding

Community-led station projects usually benefit from pooling funding from multiple sources. These may include third sector grants, as well as public sector funding, and sometimes private and rail industry grants and sponsorship. The Community Rail Development Fund (CRDF) is available to accredited

CRPs in England and Wales. The Small Grants Fund is for CRN members and station adopters in England and is administered by the CRN on behalf of the Department for Transport. The CRN has established a fund, again with the support of the Department for Transport, to assist initiatives by CRPs and station groups that aim to improve and develop integrated sustainable transport.

Train operators across the rail network also fund opportunities for community rail groups looking to deliver projects. CRN provides assistance and resources to navigate the multifaceted funding environment. Each is likely to have different reporting requirements and not be subject to the processes outlined in Section 3 of this report. Community groups interested in promoting investment in their local railway stations are advised to engage with CRN, which can provide support and guidance.

Community-driven ideas for station enhancements can take time to develop and deliver. This is often due to complexity of the rail industry. Again, CRN can provide communities interested in delivering investments or change to their local stations helpful support and guidance.



Image 2.7 Community volunteers at Mytholmroyd station

References and Resources

Community Rail Partnership Membership & Advice **Community Rail**

Non Profit Funding Advice & Tips Small Grants Fund **Community Rail Network**

Section 2: Station Enhancement Proposals

2.11 Common challenges

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

40 / 106

2.11.1 Identification of need & project development

A challenge commonly faced during the early stages of station improvement project development is conflicting roles for the different parties who are involved. Some schemes are initiated by the Local Authority, while others may be generated by the rail industry. This can sometimes create conflicts in terms of how much involvement each party has at each project development stage. Clear articulation of each organisation's role and responsibilities within the partnership avoids such conflicts and improves the efficiency of the team.

Difficulties faced with the complexities of planning processes may present a further challenge and can discourage non-rail industry developers from pursuing investments within the confines of a station, or put off rail industry organisations from developing outside of the immediate station footprint. Central to navigating these processes is engaging with Local Authorities. Integrating a scheme's planning and development with other local development can be a key enabler of success, helping to achieve local "buyin" and increase the likelihood of planning permission being granted.

Related is potential conflict between commercial and rail/transport usage of land for developments. An ideal situation is the development of railway land to deliver commercial and transport benefits however, there can sometimes be a trade-off between the two goals. In such cases, innovative thinking and collaborative working with commercial developers should be prioritised to find design solutions where all parties benefit from the scheme, such as embedding commercial development within or above the station.



Image 2.8 Eastbourne station refurbishment

NR Guidance Suite Reference

Design Manual for Medium to Small Stations NR/GN/CIV/200/02

Medium to Small Station Implementation Manual NR/GN/CIV/100/09

Section 2: Station Enhancement Proposals 2.11 Common challenges

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

41 / 106

2.11.2 Funding and financing

Differing priorities for the different organisations involved can cause problems at all stages of the development process, but notably the funding and financing stage.

Each party involved in a partnership scheme will have a slightly different mix of priorities for why the scheme is important to them and the relative significance of the different aspects within the scope of works. A shared vision should help all parties work collaboratively and set the foundation for collective decision making.

It is also important that realistic expectations are set for what the scheme will deliver. Being realistic about what the scheme is aiming to address and what will and won't be achieved is important for managing the expectations of both the stakeholders involved and the wider public. The five-case business case should be used to set out both what the intervention is expected to achieve (strategic dimension) as well as the extent that alternative options meet these objectives (economic dimension).

Railway station improvement projects (and the rail industry in general) can be complex, and the rail industry has limited access to funding to deliver investment in stations. Developing funding packages that contain sufficient contingency for foreseeable increases in costs and unforeseen circumstances whilst employing 'match-funding' where possible should help to give confidence to third parties evaluating the scheme.

2.11.3 Procurement and delivery

It is important to **secure community buy-in to the station investment** and this can be tested most noticeably in the delivery stage. Clear communication of the benefits of the scheme should help alleviate potential public dissatisfaction, for instance due to potential disruption during construction. Consulting local authorities and community groups during the planning process should also increase community buy-in. Addressing the specific needs of the local community as part of the scheme can potentially open alternative funding channels which further incentivise developers to engage with the community throughout the project.

In the delivery stage barriers to progress and **funding gaps can emerge.** Unfortunately, station improvement projects can encounter unexpected issues such as asbestos in old buildings, protected species and increases in the cost of the scheme, resulting in a funding gap. Building contingency into the original funding package and clearly allocating which organisations own the risks is important. Maintaining stakeholder participation throughout the project should help deal with any emerging issues in a cooperative and effective way.



Image 2.9 Community engagement event

Section 2: Station Enhancement Proposals

2.12 Regulatory framework

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

42 / 106

2.12.1 Regulatory frameworks

The railway receives considerable financial support from national and devolved governments and in return there are expectations and obligations as how it uses any funds it receives and discharge its responsibilities. These requirements govern and influence how the railway, the infrastructure manager (Network Rail) and train operators respond, promote, and engage with investment opportunities and proposals for change.

As infrastructure manager, Network Rail has responsibilities placed upon it through legislation and through its licence. In addition, contracts and leases between Network Rail and Train Operating Companies provide additional protections and mechanisms for how each party engages with the other to preserve the integrity of the network, sustain its current effective operation, and appropriately consider commercial interests. The practical implication of public funding and multiple parties mean that promotion of change usually needs to be subject to industry consultation and agreement. There will be proportionate demands for transparency of costs, understanding of impacts upon customers during and after proposed changes, and consideration and management of potential long-term implications and risks of proposed changes.

Navigation and understanding of the implications of these obligations and protections can be complex. Network Rail is here to help you through that process and support your engagement with train operators and other key stakeholders that might be involved in your proposal for change.

References and Resources

https://www.networkrail.co.uk/who-we-are/publications-andresources/regulatory-and-licensing/ Network Rail

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

43 / 106

2.13.1 National, devolved, sub-national and local government

Department for Transport

The Department for Transport sets the strategic direction for the rail industry in England and Wales. It funds investment in infrastructure delivered by Network Rail and awards and manages rail franchises, and in the future passenger services contracts. Approval or authorisation should be sought from the DfT if:

- \rightarrow A franchised TOC is expected to serve a new station.
- → Any investment affects the long-term finances of a franchise/passenger service contract.
- → Third-party proposals include a change in the specified service of a franchised/contracted operator.

The DfT produces guidance on the transport business case process, as well as Transport Analysis Guidance (TAG) which sets out methods and approaches for assessing the value for money of proposed station investments which are seeking public funding.

Scottish Government & Transport Scotland

The Scottish Government is responsible for all passenger rail services wholly within Scotland and sets the strategy for Scotland's railway. Transport Scotland is the national transport agency for Scotland and is tasked with delivering the Scottish Government's transport policies and programmes and is responsible for the specification and management of passenger rail services in Scotland. On 1 April 2022 ScotRail, the provider of the bulk of rail services in Scotland transferred into public control and ownership.

Welsh Government & Transport for Wales (TfW)

The Welsh Government specifies and monitors the train passenger franchise in Wales. Transport for Wales is a wholly owned not-for-profit company by the Welsh Government. Its role is to oversee public transport in Wales. As part of TfW, Transport for Wales Rail was set up to take on the running of the Wales and Borders network.

Sub-national Transport Bodies

A sub-national transport body (STBs) is a grouping of local transport authorities that provides advice on transport strategy at a larger geographic scale than existing local transport authorities. There are seven such bodies, of which only Transport for the North has statutory status.

Local Transport Authorities (LTAs)

Local transport authorities in England are either combined authorities, unitary authorities or the upper tier of local government in two-tier areas. Local transport authorities are responsible for adopting and maintaining a statutory local transport plan, which comprises a long-term strategy and short-tomedium term delivery plan. LTAs can promote station enhancements. Any third party promoted station enhancement should be expected to be consistent with the Local Transport Plan (LTP) and supported by the LTA.

The London Mayor, Greater London Authority & Transport for London

The Mayor's Transport Strategy is the strategic transport plan for London. Transport for London (TfL) is responsible for the day-to-day delivery of the strategy. TfL is also responsible for the specification and management of the London Overground operating concession. Any third party promoted station enhancement in London should be expected to be consistent with the Mayor's Transport Strategy and supported by TfL.

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

44 / 106

Office of Rail and Road (ORR)

The ORR is the independent economic and safety regulator for the whole rail network in Great Britain. It regulates Network Rail, High Speed 1 as well as the Channel Tunnel. The ORR issues licences to operate trains and stations. Contracts enabling TOCs to call at any stations or for any physical change to an existing station requires an access agreement, which is approved by the ORR. Any major works to existing stations or new stations that requires National Technical Specification Notices (NTSNs) to be applied also required authorisation from the ORR.

2.13.2 Rail infrastructure

Network Rail

Network Rail is the owner of rail infrastructure including track, bridges, tunnels, and the freehold of most stations. The accountability of the operation, maintenance, and renewal of network assets falls with Network Rail. Usually, Network Rail will be the long-term owner of any new station or replacement station, with a TOC taking on the role of Station Facility Owner (SFO).



Image 2.10 Network Rail routes and regions

Great British Railways (GBR)

Great British Railways will be a publicly owned body which in the future will oversee railway transport in Great Britain, with some exceptions including Transport for London (London Overground) and Merseytravel (Merseyrail) sponsored services, as well as Transport for Wales sponsored services on the Core Valley Lines in South Wales. It is intended that it will replace Network Rail as the operator of rail infrastructure and that it will control the contracting of passenger train services, the setting of fares and timetables, and the collection of fare revenue, with the exception of services wholly within Scotland and Wales.

Great British Railways Transition Team (GBRTT)

The Great British Railways Transition Team (GBRTT) was formed by Government to help facilitate the creation of Great British Railways. It is developing a long-term strategy for the railway setting the strategic context and setting key priorities for the entire industry for passengers and freight.

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

2.13.3 Train operators

Franchised Train Operating Companies (TOCs) Currently, franchised Train Operating Companies operate passenger train services and act as Station Facilities Operator (SFO) for specified stations. As SFO they day-to-day oversee cleaning and maintenance of the station and surrounding buildings and are responsible for the general upkeep of the station. TOCs can fund or co-fund station improvements which may improve revenue.

Open-access operators

An open-access operator is a train operating company that takes full commercial risk, running on infrastructure owned by Network Rail and buying 'paths' on a route. An open-access operator's services are not part of a franchise and they are not SFOs. Nonetheless, open-access operators can be affected by station enhancement proposals, both during their construction and then operation.

Freight operating companies

Freight operating companies carry freight on the national rail network under open access arrangements. Freight operating companies have rights to access paths on the rail network and can be affected by station enhancement proposals, both during their construction and then operation.



Image 2.11 Four train operators at Kings Cross station

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2.13.4 Community Rail Network

Community Rail Network (CRN) is a grassroots movement collective made up of community rail partnerships and groups across Britain. It engages communities and helps people get the most from the railway, promoting social inclusion and sustainable travel, and works alongside TOCs and Network Rail to bring about improvements, and bringing stations back to life. It has a membership of over 70 community rail partnerships and represents over 1,200 station adoption groups. CRN supports its members to be effective in benefiting their communities and the railway, socially, environmentally and economically.

CRN produce written materials to explore topics in greater depth, provide practical guidance and inspiration, and share lessons and examples. These materials include research reports, guidance booklets, toolkits, worksheets and case studies and can be found using the link below.



Image 2.12 Transformation of redundant buildings at Haltwhistle station for community use

References and Resources

https://communityrail.org.uk/resources-ideas/ Community Rail Network



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Investment in Stations Section 3: Developing a Proposal

Section 3: Developing a Proposal 3.1 Guidance on developing business cases

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023



3.1.1 Introduction

Most sizeable investment proposals will require the development of a business case. The purpose of the business case is to set out why an investment is needed, set out the rationale for the preferred intervention and why it has been chosen out of alternatives, set out the benefits, costs and risks of the proposed project, and establish its value for money. A business case also sets out how the preferred intervention will be paid for, and how it will be delivered and implemented.

Development of the business case is a process that helps inform ongoing project development, aids engagement with stakeholders, and helps determine the preferred project and funding arrangements. HM Treasury and DfT guidance sets out a four-stage process, shown in the figure.

The last three stages are likely to applicable to projects seeking public-sector funding, although some smaller projects may not require a business case. Promoters should also consider whether the first stage is needed for their proposed intervention. The key purpose and requirements of each stage of the business case process are summarised on the following pages. Further support and guidance regarding the requirements of the business case, and underlying appraisal, can be found in:

- → HM Treasury's Green Book and associated guidance for projects and programmes, which provides the basis on which project and policy proposals seeking any public funding should be developed.
- → The DfT's business case guidance, which sets out DfT's requirements and expectations for projects seeking government funding.
- → DfT's Transport Analysis Guidance, which establishes the technical requirements and expectations for the development, assessment and appraisal of all transport projects.
- → The Better Value Rail Toolkit (BVR), a set of guidelines and tools intended to support the development of projects, particularly at the Strategic Assessment and SOC stages.
- → Transport Scotland's Scottish Transport Analysis Guide, which should be considered for any station enhancement project in Scotland.
- → Welsh Transport Appraisal Guidance, which should be considered for any station enhancement seeking Welsh Government funding.

Section 3: Developing a Proposal

3.2 Strategic assessment

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

51 / 106

3.2.1 Introduction

The role of a Strategic Assessment is to develop the broad rationale or purpose for the project and assess its broad fit with wider local and national policy. It should seek to:

- → Identify the problem outline the broad issue(s) to be solved.
- → Confirm the strategic context validate that the transport proposal will contribute to achieving objectives at the national, regional and local scale and/or those of the rail industry.
- → Consider place-specific implications where relevant, consider how the transport proposal will fit with regional and local priorities of the local area(s), and/or complement existing and planned initiatives (including non-transport policies).
- → Establish whether there is a need for a transport intervention – define the specific role that the transport proposal will play when delivered and confirm that a transport policy is the best option to solve the problem(s) identified.

Examples of work in the Strategic Assessment stage include summarising how a new station proposal is aligned to local government transport objectives as set out within the relevant Local Transport Plan, or how an Access for All improvements support the goals of the rail industry to improve accessibility on the network. This stage need not be onerous, but is important to determine broad policy 'fit', at an early stage identify any challenges where a project may run counter to wider goals, and help prevent too much initial investment in proposals which are clearly unviable or lack clear purpose or rationale.

The Strategic Assessment stage may not be needed for all proposals. For instance, should an intervention already have a strong policy foundation and/or been subject to historical study, then a Strategic Assessment may not be required. Examples could be a station upgrade identified in a local authority's Local Transport Plan, or its short- to medium-term implementation plan.

The Better Value Rail Toolkit Strategic Context Checklist can support this stage. The BVR Benefit Guidance can also support the Strategic Assessment.

Should a decision be made not to undertake a Strategic Assessment, promoters should document the reasons for this.

In Scotland the initial business stage is Strategic Outline Plan (SOP) and in Wales it is Case for Change.

Image 3.1 Better Value Rail Toolkit resources

References and Resources

Better Value Rail Toolkit https://www/bettervaluerail.uk/

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

SOC

3.3.1 Stage 1: Strategic Outline Case overview

The key purpose of the SOC is to act as a scoping stage for the project. It is intended to develop a project proposal from an abstract concept to something more defined, assess broad feasibility and affordability, and establish whether it is appropriate to develop the proposal further at OBC stage.

The SOC should demonstrate the Case for Change – why the investment is needed – review potential options and provide sufficient confidence to decisionmakers and stakeholders that the project is expected to be technically feasible, affordable and deliverable. This is needed to justify the investment required to progress the proposal to the 'planning' stage at OBC.

Both the Strategic and Economic Cases should be substantively developed at SOC; the Financial, Management and Commercial Cases should be developed in outline, but identify any potential 'show-stopper' risks and include sufficient detail to provide confidence that the project is expected to be affordable and deliverable.

Compared to the Full Business Case, it is expected that each dimension of the business case will have been completed as illustrated in the figure.

In Scotland this business case stage is called Strategic Business Case.





SOC: Percentage completion of each dimension of the business case

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

53 / 106

Strategic dimension

The **Case for Change** forms the key element of the Strategic Dimension. The Case for Change is intended to demonstrate **why** the investment is required – what problem(s) does it address, what are the benefits (and to whom), and what are the effects of 'doing nothing'? This should be appropriately evidenced through data analysis and/or stakeholder engagement.

Logic mapping can be used to present how the outputs the investment could deliver (e.g. a new station) could support a wider range of short- and long-term outcomes (such as increased rail demand, and/or local regeneration). The aim should be to clearly communicate the benefits of the project to decision-makers and funders.

This justification should inform the development of a series of SMART (specific, measurable, achievable, relevant and time-bound) objectives for the investment, which should then be used to assess different options. These objectives should be 'problem-led', rather than seeking to prescribe a particular solution. The BVR Toolkit Strategic Narrative Template can support this process.

A range of realistic options which seek to address the objectives should be developed. While the nature of these options will be specific to the 'problem' identified, it is important that the options are not overly narrowed focused. This will provide confidence that the final preferred option is optimal, and all realistic options for achieving the project objectives have been considered. Full consideration should be given to other public transport modes as viable options, rather than a presumption that a rail solution will best address the problem or objectives.

These options should then be sifted, for example by using multi-criteria assessment, to determine a small number of better performing options to be taken forward to the next stage of development. Development of an Option Assessment Report (OAR) and/or the use of the BVR Multi-modal assessment tool (currently under development) can support this process. At the conclusion of the SOC stage, the Strategic Dimension should be substantively complete.

Economic dimension

For a project seeking public funding the purpose of the Economic Dimension at SOC stage is to demonstrate that there is a **realistic prospect** of the project representing 'value for money' (VfM). This would usually require a cost-benefit analysis which assesses the whole life capital and operating costs of the project against the quantified, monetised benefits and disbenefits. Monetised impacts can include journey time savings and improvements in ambiance and journey quality, changes in operational carbon emissions and reduced crowding. In the case of a new station or any other proposal that would change the stopping patterns of passenger services, consideration should be given to any negative impacts on passengers on trains passing through the station.

Approaches to appraise these benefits are set out in Network Rail and DfT TAG guidance. The adopted approach will be a function of the nature of the project in question and it should be proportionate to the likely impacts of the proposal. Some project impacts will not be amenable to quantification and/ or monetisation, and in such cases, a qualitative assessment should be made.

Capital and operating costs should be assessed for the preferred option(s), using methods proportionate to its scale. This could range from benchmark costings for historical projects for a small-scale project (such as station enhancements or a new accessible footbridge) to a detailed engineering study for larger proposals. The BVR **capital expenditures** (**CapEx**) and operating expenses (OpEx) Tools can support this assessment.

At SOC stage the focus is on undertaking sufficient analysis to demonstrate that the project has a **realistic potential** to represent value for money (VfM),

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

54 / 106

and hence that further development of the project to OBC is proportionate and justifiable. In its Value for Money Framework, the DfT provides guidance on how VfM should be assessed. Importantly, the assessment of VfM should consider all impacts whether monetised, quantified or assessed qualitatively.

At SOC stage, there need not be a comprehensive assessment of all monetised costs and benefits (this should follow at OBC stage), but the assessment should give confidence that project benefits are expected to be greater than costs, and hence that the project can be justified on VfM grounds and further work to develop the proposal is warranted.

Promoters should consider producing an Appraisal Specification Report (ASR) early in the SOC process and sharing this with the body which will assure the business case. The ASR should set out a proportionate method for the assessment of an intervention's impacts. The ASR should be considered a live document that is updated throughout and refreshed throughout the business case cycle.

🗿 Financial dimension

The purpose of Financial Dimension is to provide confidence that there is a realistic funding opportunity for the project in question. Although the Financial Dimension only needs to be light-touch at SOC stage, it should:

- → Identify one or more likely funding sources for the project. This could be industry funding pots such as Restoring your Railway, other national funding sources such as the Local Growth Fund, local government contributions, or private-sector contributions such as from developer funding. The aim here is not to determine exactly how the project would be funded, but instead to provide confidence that there are realistic ways it could be paid for.
- → Summarise the expected whole-life capital costs of the project, including a complete breakdown of costs and the profile over which they will be incurred, and the broad risk allowance. Broad maintenance and renewal costs should be identified.
- → Set out the expected **operating costs** of the proposed intervention, including the incremental operating costs incurred by Network Rail, the SFO and all TOCs for station enhancement projects;
- → Identify changes to revenue, which could be additional fare box revenue or rents from commercial retail concessions on the station estate, amongst others.



Commercial dimension

The purpose of the Commercial Dimension is to outline the commercial viability of the project, and the procurement strategy required to deliver it. In the majority of cases, this would be through established Network Rail processes and routes to market. At SOC stage, the Commercial Dimension need only be developed in outline.



The purpose of the Management Dimension is to set out how a project is deliverable. Similar to the Commercial Dimension, at SOC stage it need only be developed in outline, and would commonly reflect existing Network Rail practices.

At SOC stage, the management dimension should include a broad description of the project governance, organisational structure and key roles, approach to assurance, and risk management. If possible, evidence of the successful delivery of similar projects should be used to support the recommended project approach.

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

55 / 106

3.3.2 Rail industry expectations

For projects at SOC stage, in addition to the development of a five-case business case, there is an expectation that **wider engagement and consultation** with key rail industry stakeholders will have been undertaken. This is in order to understand the views of different parties with respect to the proposal, both informing future project development and providing confidence that the project is deliverable.

While the precise nature of this engagement will be project-specific, there should be a focus on engaging with those stakeholders whose support and involvement is required for the project to be successfully delivered. As well as with Network Rail, consideration should be given to engagement with TOCs that operate at the station, as well as community and user groups. Early engagement as part of the SOC can help provide confidence that the project is deliverable (e.g. that a station proposal is deliverable within the rail timetable) and speed up later stages of development at OBC and FBC as key issues and risks are flagged and resolved earlier in the process.

3.3.3 Gateway point

At the end of the SOC stage, the gateway point is the "Decision to Develop". Should this decision be taken, the intervention can proceed to the OBC stage.

To establish the assurance and review requirements for this gateway, promoters should engage with the Accountable Body for the funding that it is intended will provide the majority of the required funding for the intervention. Promoters should also be aware that different Accountable Bodies may have requirements for the format of any SOC submission, supporting documents and may have additional requirements over and above those set out here.



Image 3.2 Public consultation event for Northern Hub proposals

Section 3: Developing a Proposal

3.4 Stage 2: Outline Business Case

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

56 / 106

3.4.1 Stage 2: Outline Business Case overview

The Outline Business Case acts as the planning phase for the project. It should revisit the options identified in the SOC, identify the preferred project option, and demonstrate that the project represents value for money. It should also demonstrate that that the project is affordable and deliverable, and thereby underpin the decision to proceed to Full Business Case.

Compared to the SOC, it is expected that each dimension of the business case will have been completed as illustrated in the figure. Both the Strategic and Economic Dimensions should be substantively complete, and the Commercial, Financial and Management Dimensions developed to sufficient detail to provide confidence the project is affordable and deliverable.



Figure 3.3

OBC: Percentage completion of each dimension of the business case

Section 3: Developing a Proposal **3.4** Stage 2: Outline Business Case

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

Strategic dimension

Each element of the Strategic Dimension completed at SOC stage - the Case for Change, objectives and assessment of options – should be reviewed and updated where required. Specific focus should be placed on:

- → The option assessment, with clear evidence of the development of a 'longlist', 'shortlist' and appropriate sifting and multi-criteria assessment to identify a preferred option.
- → Clear presentation of the strategic benefits of the project, building on that already presented at SOC with additional evidence and analysis if required.
- → Review of risks and constraints what are the key risks to achieving the project objectives, and how can they be mitigated and managed?
- → Stakeholder engagement, with evidence of how different groups have been engaged and consulted, and how their views have informed the development and planning of the project.

🚺 Economic dimension

At OBC stage, the Economic Dimension should be updated with additional analysis and appraisal to verify that the preferred option represents value for money.

In practice, for publically funded projects, this will involve undertaking a complete assessment of project benefits and costs with regard to DfT TAG guidance. This assessment should be used to inform a Value for Money assessment. Before proceeding with the update of the economic dimension, promoters should consider updating the Appraisal Specification Report and agreeing the approach with the relevant Assurance Body.

Clear reporting of appraisal methods and assumptions should be provided, and any departures from TAG clearly documented and justified. The approach to the benefit appraisal should also reflect the objectives and strategic benefits presented in the Strategic Dimension so that there is consistency across overall five-case business case.

Depending on the scale and nature of the project in question, additional analysis and reporting may also be required to present:

- → Distributional impacts how will the project affect different social groups and groups of people?
- → Uncertainty analysis how will the project perform in different alternative futures, such as rail demand or population growth being materially higher or lower than the central case.
- → Place-based analysis what are the spatial impacts of the project or the distribution of benefits? This can be particularly important for projects with geographically-focused objectives and/or those linked to Government's Levelling Up agenda.

Promoters should consider what supplementary reporting is needed to support the economic dimension, noting that Assurance Bodies or different funding streams may have particular reporting requirements.

Section 3: Developing a Proposal

3.4 Stage 2: Outline Business Case

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

Financial dimension

At OBC stage, the Financial Dimension should be expanded from that at SOC stage. The focus should be on continued **engagement with potential funders** to identify a preferred, and viable, funding strategy. This should build on the content already undertaken at SOC stage to demonstrate:

- → The funding strategy: building on the potential funding sources identified at SOC, this should summarise the current funding proposal for the project (e.g. share of DfT grant versus local government contributions; Section 106; etc), as negotiated and agreed with funders.
- → Whole-life costs: updating the breakdown and profile of costs provided at SOC with a more detailed cost estimate and breakdown, together with operating costs and forecast revenues.
- → Project risk: a quantitative risk assessment (QRA) should be undertaken, and an undertaking as to which parties will fund any potential cost overruns above the project funding allowance.

😓 Commercial dimension

At OBC stage, the Commercial Dimension should be significantly expanded from that at SOC to set out:

- → The **commercial approach** how has commercial viability been assessed?
- → An output-based specification what are procurement requirements in terms of outcomes and outputs?
- → Procurement strategy what are the potential procurement and purchasing options, and how will they secure the project benefits presented in the Strategic and Economic Dimensions?
- → Proposed risk allocation and transfer how will different risks be apportioned or shared?



Management dimension

Similar to the Commercial Dimension, at OBC stage the Management Dimension should be expanded from that at SOC stage. It should demonstrate the feasibility and practicality of delivering the proposal, and provide confidence that an appropriate project management regime is in place to deliver the project through to the implementation and delivery phase.

This should include refreshing the contents of the document from SOC, and considering:

- → The overall project programme what are the key milestones, dependencies and the critical path.
- → Project implementation what are the keywork packages and structures for delivering the project?
- → Stakeholder engagement and communications – what is the communications strategy for engaging key stakeholders?
- → Programme or project reporting what are the reporting arrangements including delegated authorities, exception reporting, tolerances and change control?
- → **Risk and issues management** what are the arrangements for managing key risks?

Section 3: Developing a Proposal **3.4** Stage 2: Outline Business Case

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

59 / 106

3.4.2 Rail industry expectations at OBC

At OBC stage, there is the expectation of more formal, ongoing engagement and consultation with key stakeholders. This will likely take the role of a regular project steering group, which would guide the development of the business case and the management of risks and interdependencies.

At the conclusion of the OBC stage, promoters should expect to be able to demonstrate to funders that Network Rail and affected TOCs have been consulted and support the proposed intervention. Community and user groups should be been consulted.

The specification of the proposed investment with regard to Stage 1 of Network Rail PACE process, and some elements of Stage 2 may be necessary. More detail is given in Section 4.

3.4.3 Gateway point

At the end of the OBC stage, the gateway point is the "Decision to Design". Should this decision be taken, the intervention can proceed to the FBC stage.

Prior to submitting the OBC, promoters should engage with their Accountable Body to understand its assurance and review requirements.

Section 3: Developing a Proposal

3.5 Stage 3: Full Business Case

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

60 / 106

3.5.1 Stage 3: Full Business Case overview

The Full Business Case informs the decision to proceed to the delivery phase. It should confirm the conclusions from the SOC and OBC, and following a procurement exercise, update the OBC with final cost estimates in the appraisal. The greatest focus should be on the development of the Commercial and Management Dimensions, which document the means through which the project will be delivered.

Each dimension of the business case should be fully complete at the end of the FBC stage. It should provide decision-makers and funders with sufficient information to determine whether to deliver the project.



Figure 3.4

FBC: Percentage completion of each dimension of the business case

Section 3: Developing a Proposal

3.5 Stage 3: Full Business Case

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

Strategic, economic and financial dimensions

Each of these dimensions should be substantively complete following OBC stage. At FBC, they should be reviewed, updated and revised with new evidence where appropriate. This should include:

Within the Strategic Dimension:

- → Confirm the 'case for change' and wider rationale for the project.
- → Revisit the option assessment and verify that the preferred option is unchanged.

Within the Economic Dimension:

→ Following a procurement exercise, update the project capital costs within the economic appraisal and confirm that the proposal still represents value for money.

Within the Financial Dimension:

- → Following market engagement, update the expected profile of capital costs and Quantitative Risk Assessment
- → Finalise the project funding strategy, confirming with individual funders their proposed funding contributions, the funding profile and any conditions or risks
- \rightarrow Confirm that the proposal is still affordable.



Commercial and management dimensions

The focus at FBC stage should be finalising the Commercial and Management Dimensions to demonstrate how the project will be successfully procured and delivered.

The **Commercial Dimension** should be expanded to clearly document the proposed contracting approach that has been negotiated between the client body and contractor(s). It should set out:

- → The project outputs and work packages which are being contracted.
- → The implementation timescales which have been agreed for delivery.
- project capital costs within the economic appraisal \rightarrow The allocation of risk negotiated between the client and confirm that the proposal still represents value and contractor.
 - → The method of payment for these outputs, including premiums for risk transfer.
 - $\rightarrow\,$ The type of contract used and the key contractual issues.
 - → The proposed accountancy treatment of the contract, with confirmation from the organisation's external auditors, as required.
 - → A detailed explanation of any personnel implications (for example, Transfer of Undertakings (Protection of Employment, TUPE) regulations) and how they are being managed.

The Management Dimension should be expanded to record the detailed management arrangements that have or will be implemented so that the delivery of the project is successful. This should include finalising the:

Project management arrangements and plans, including:

- → Revising and updating the project plan and management strategy.
- → Documenting the project structure, reporting line, roles and responsibilities, including named individuals.

Risk management arrangements, including:

- → An updated risk register capturing all the business and service risks identified during the design, build, implementation and operational phase of the project, associated risk owners and reporting arrangements.
- → A contingency plan(s) setting out proposed contingencies in the event of the non-delivery of the project outputs by the contractor(s).
- → Change management arrangements, as agreed with the contractor(s), and associated sign-off and governance.
- \rightarrow Contract management arrangements.
- → Proposals for post-project monitoring and evaluation.

Section 3: Developing a Proposal **3.5** Stage 3: Full Business Case ₹

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

62 / 106

3.5.2 Rail industry expectations at FBC

At the conclusion of the FBC it is expected that all agreements necessary to deliver and operate the scheme will be in place. More details are provided in Section 4.

3.5.3 Gateway point

At the end of the FBC stage the gateway point is the "Decision to Deliver".

Section 3: Developing a Proposal

3.6 Post implementation monitoring & evaluation

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

63 / 106

3.6.1 Introduction

Post implementation monitoring and evaluation are key activities for any organisation which aims to progressively improve its performance. It allows for systematic learning from past and current activities. It allows good practice to be identified and replicated in future and mistakes and poor or undesirable outcomes to be avoided. Network Rail is committed to post implementation monitoring and evaluation of enhancements to the rail network and to using the findings of such work to inform continuous improvement.

Government considers monitoring and evaluation to be a key mechanism for generating evidence to assess benefits realisation. All station enhancements in receipt of public sector funding are expected to have a Monitoring and Evaluation Plan in place. This is produced prior to the approval of the Full Business Case. Developing a Monitoring and Evaluation Plan is also an integral part of PACE Stage 4 Project Close, even though monitoring and evaluation activities may extend beyond project close.

- → Monitoring assesses progress against planned targets and can be defined as the formal reporting and evidencing that spend and outputs are successfully delivered, and milestones met. Monitoring also provides a valuable source of evidence for post implementation evaluation.
- → Evaluation is the assessment of the effectiveness and efficiency of an investment during and after implementation. An output evaluation seeks to measure the causal effect of the scheme on planned outcomes and impacts, and assessing whether the anticipated benefits have been realised, how this was achieved, or if not, why not.

3.6.2. Successful monitoring & evaluation.

The following are integral to successful monitoring and evaluation:

- → Establishing a proportionate monitoring and evaluation **process**.
- → Implementing a robust **governance framework** for monitoring and evaluation activity.
- → Embedding a culture of monitoring and evaluation.

DfT's TAG Unit E1. Evaluation provides an overview of good practice in planning the evaluation of transport interventions, including investment in stations. Promoters should have regard of this guidance as they develop their Monitoring and Evaluation Plans.

Common practice is to undertake a first evaluation one year after scheme opening and a second evaluation five years after scheme opening.

References and Resources

Transport analysis guidance Unit E1: Evaluation
Department for Transport



Image 3.3 Stakeholders working with Network Rail at Bow Street station 1

Gorsaf Bow Street Bow Street Station

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Investment in Stations Section 4: Engaging with Network Rail

Section 4: Engaging with Network Rail

4.1 Options for engaging

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

4.1.1 Introduction

Network Rail is working to make investment in the railway easier, less time consuming and less expensive. Its focus is to generate benefits for passengers and users of the railway, and drive innovation. Network Rail is creating a more flexible approach to encourage and enable investors to work with and invest in the railway.

The railway is a complex safety-critical environment. Network Rail's legal and contractual obligations mean that there are some services associated with enhancing stations that only Network Rail can do. These are "non-contestable services". However, there are services that could be provided by either Network Rail or third parties. These are "contestable services".

4.1.2 Contestable services

Contestable services are activities and services that could be delivered by Network Rail, but could also be delivered by a third party. The goal of making such services contestable is to increase creativity and innovation, while at the same time securing value for money.

The aim of the contestable service approach is that they have an output-focused approach. Project development, design management and scheme implementation through management contracting are all examples of contestable services which can be delivered by either the market or Network Rail.

4.1.3 Non-contestable services

Non-contestable services are specific services which will always be provided by Network Rail. These include services associated with protecting the integrity and safety of the rail network. Non-contestable services include asset protection, railway operations, engineering safety management, providing asset information and supporting applications for station and network change.

Network Rail will provide these services using its acquired knowledge base and its understanding of the work that is planned and proposed. It will require access to data held by the promoter such as company standards, sectional appendix and hazard directory, drawings, asset data and relevant information about the existing network.

Section 4: Engaging with Network Rail **4.1** Options for engaging

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

4.1.4 Asset Protection and Optimisation (ASPRO)

ASPRO is one of the most important non-contestable services. ASPRO teams are made up of rail industry experts in working in and around the railway. Due to the challenging environment working near the railway, ASPRO teams will help mitigate those challenges, helping minimise the risks associated in doing so.

ASPRO teams can specifically help third parties with:

- \rightarrow Building near the railway.
- \rightarrow Statutory undertakers or 'utilities' work.
- \rightarrow Work on bridges, road, and transport schemes.
- → Inspection and surveying.
- → Level crossing works.
- \rightarrow Telecom equipment and radio masts.

More information on asset protection and optimisation is available on Network Rail's website. This also provides contact details enabling third party promoters to engage with Network Rail on this important topic. The general advice to third party promoters is not to leave consideration of ASPRO to the latter stages of a project's development, but to engage early with Network Rail when there is time to influence the specification of options and how they may be delivered.

4.1.5 Types of agreements

Network Rail will enter into agreements with promoters to provide non-contestable services and, should a promoter choose to use Network Rail, contestable services. Network Rail will work with third parties to determine which agreement is best suited for each part of the process.

There are two main types of agreements, basic agreements, and detailed agreements.

Basic agreements

These simple agreements are used to create a contractual relationship early in the process. The most common type of basic agreements is the Basic Service Agreement. Such agreements would typically be used for pre-feasibility works, or strategic or outline business cases.

Detailed agreements

Detailed agreements are much more in depth and require specific details of the services that will be provided by Network Rail and those provided by the third party. An example of when a detailed agreement would be used is project development or detailed design work post the final/full business case.

Templates of both types of agreements can be found on Network Rail's website

4.1.6 Contacting Network Rail

Network Rail is making it easier for others to both invest and build on the railway. The Open for Business initiative is about removing barriers and making easier for third party investors. It has developed a series of investment process flow charts that can be found in Appendix D.

The reference below provides further details on this and who to speak to can be found on the Network Rail website.

References and Resources

www.networkrail.co.uk/industry-and-commercial/third-partyinvestors/network-rail-is-open-for-business/ Network rail

Section 4: Engaging with Network Rail **4.2 Output definition**

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

68 / 106

4.2.1 Introduction

Output definition is a key part of the **first stage** of Rail Networks Enhancement Pipelines (RNEP) process that is described in Section 2.3 and would be documented in a Strategic Outline Case (SOC). For a particularly large or significant project, the output definition could be undertaken in a Strategic Assessment, which would precede the first RNEP stage.

An output definition sets out the objectives and scope of a project. It allows Network Rail to identify the most appropriate way to engage with the enhancement's promoter.

Network Rail and the third party will then begin the project development process and agree the preferred procurement route for works needed to progress the following stage. At this stage there are two possible outcomes: either Network Rail can further define and develop the project scope, or the promoter can choose another party or themselves to further develop and refine the scope.

Output definition is an integral part of Stage 1 of the RNEP process. The relevant PACE stage is Stage 0 and it is part of RIBA Plan of Work Stages 0 and 1.

4.2.2 Minimum Viable Product (MVP)

Minimum Viable Product (MVP) is a concept which describes the most pared-down proposition that can be delivered to meet the agreed outcomes. Finding it is a process of identifying and agreeing the best balance between what enhancements will deliver the desired outcomes and the cost of doing. MVP is not automatically the option which will be delivered, but it helps inform a deliberate choice to either agree to invest in the MVP solution or add more funds should the additional benefits warrant the additional scope.

MVP is embedded in PACE governance and is an important element in securing efficiencies for delivering enhancement proposal.

Section 4: Engaging with Network Rail 4.3 Project feasibility

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

69 / 106

4.3.1 Establishing project feasibility

Once the scope, project objectives and specification are set, the next step is to establish whether the project is feasible. Resources needed to deliver the proposal, its timescales and costs are all now further considered. To use Network Rail's services either a Basic Service Agreement (BSA) or Basic Asset Protection Agreement (BAPA) is needed. A BAPA would be needed if Network Rail is only providing non-contestable services. Template agreements are available on the Network Rail website.

The conclusion of the project feasibility stage is the "decision to develop". Either Network Rail could then develop and refine the requirements to allow preferred option selection, or a third party could take forward the development of the intervention (noting that Network Rail would need to provide any relevant non-contestable services).

The assessment of project feasibility should be documented in a Strategic Outline Case and supporting documents.

The Project Feasibility Stage is part of Stage 1 of the RNEP process. The level of detail needed for project feasibility assessment is defined by PACE Stage 1 and RIBA Plan of Work Stages 1 and 2.



Figure 4.1 Stage 1- determine project feasibility

Section 4: Engaging with Network Rail **4.4 Option selection**

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

70 / 106

4.4.1 Identifying the preferred option

Before progressing, the first step of Option Selection is to reconsider costs, timescales, and resources to refine the project requirements defined in the previous stage. Following that, the relevant parties agree work scope and obtain either a Basic Service Agreement (BSA) or Development Services Agreement (DSA). Template agreement are available on Network Rail's website. Network Rail will then deliver the agreed services, noting that Network Rail would need to provide any relevant non-contestable services.

The Option Selection stage sits in the Outline Business Case (OBC) of the DfT's staged business case process and the Development stage of the RNEP process. PACE Stage 2 defines the level of work required to inform option selection and it should be expected that the preferred option will be designed to the equivalent of RIBA Plan of Works Stage 3, although options that are not taken forward need not necessarily be designed to this level.

The OBC can only be concluded once a preferred option is selected. The OBC informs the "decision to design".



Figure 4.2 Stage 2- develop option selection

Section 4: Engaging with Network Rail 4.5 Design

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

71/106

Developing the design 4.5.1

These are the final stages of any project for the railway. Having passed through the "decision to design" gateway, promoters need to decide whether to ask Network Rail to design and potentially construct the project or to seek outside resources to do so. Whichever path is chosen, Network Rail would need to provide any relevant non-contestable services. The scope of Network Rail's activities would be set out in a Development Service Agreement (DSA).

As part of Stage 3 of the RNEP process, the costs, resources, and timescales to deliver the enhancement will be reconsidered. This would be informed by PACE Stage 3 work/RIBA Plan of Works Stage 4 activities. As necessary, the strategic and economic cases for the enhancement would be reviewed and refreshed. All work would be documented in a Full Business Case and supporting documents leading to a "decision to deliver"



Figure 4.3 Stage 3 - design the chosen option

Section 4: Engaging with Network Rail

4.6 Construction and handover

Investment in Stations NR/GN/CIV/100/08

72 / 106

100 series

June 2023

Investment delivery & handover 4.6.1

After passing through the "decision to deliver", all parties involved will agree terms of an Implementation Agreement (IA).

One of the key aspects at the construction stage (RNEP Stage 4) of the project is that the work and enhancements to the railways made cause minimal disruption to the network. PACE Stage 3 covers this and other activities in the delivery stage. The relevant RIBA work stage is Stage 5, Manufacturing and Construction.

The final part of any project is the handover to the relevant parties. This is the Deploy stage of the RNEP process. It also the final stage of PACE (Stage 4 Project Close) and the final stage of the RIBA Plan of Works, Stage 6 Handover and Close Out.



Figure 4.3 Stage 4 & 5-deploy construction and handover


Investment in Stations Appendix A: Rail industry objectives

Rail industry objectives Rail industry objectives

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

The long-term strategy for the rail industry is focused on five strategic objectives:

- 1. Meeting customers' needs.
- 2. Delivering financial sustainability.
- 3. Contributing to long-term economic growth.
- 4. Levelling up and connectivity.
- 5. Delivering environmental sustainability

Meeting customers' needs

Fundamental to the future success of the railway is better understanding and meeting the needs of the many and diverse customers we serve, so that they feel rail is value for their money.

That means improving the performance, reliability and convenience of rail. Making it better integrated with transport across other modes to provide seamless, speedy end-to-end journeys.

Stations, and their role as local, regional, and national hubs, are vital to rail's integration with other modes of transport, and the experience and convenience of those who travel.

The attractiveness and comfort of stations and their surroundings is also an important part of our offer to customers.

Those customers also rely on rail being safe, secure and accessible – and the environment and facilities at and around stations are a big part of this.

And we can't meet our customers' needs if we don't fully understand them, so that means investing in systems and data, including at stations.

Delivering financial sustainability

Reducing the railway's cost to government, with a sustainable balance of the burden between taxpayer and farepayer, is important to the growth and benefits of rail. That also means operations, maintenance and investment to improve the railway should be delivered efficiently, on time and on budget.

Stations have a key, twin role here: they bring money into the railway, as a shopfront for farepayers, home for businesses and focal point for investment. And the station estate also represents a significant set of operational assets, that we need to run efficiently, deliver capably and invest in wisely.

Contributing to long-term economic growth

Stations are at the heart of this objective. High quality railway stations, performing well and well-connected for communities, can achieve a lot. They can improve the overall end-to-end journey time for travellers. They connect people to jobs, and businesses to skills. They are also a focal point for attracting inward investment, and central master-planning and place-making.

Levelling up and connectivity

These benefits of station investment are particularly relevant in areas where access to rail can help to reduce inequalities, improve opportunities, and promote sustainable economic growth in support of levelling up.

Where rail can improve connectivity for a community and drive social value, investment in stations has a key role to play.

Delivering environmental sustainability

Rail is a form of transport with already-strong environmental credentials. Even where a route is not electrified, its use is less carbon-intensive, and better for air quality, than the alternatives. But rail can play a bigger part in the decarbonisation and sustainability of transport and the wider economy, by attracting a greater modal shift of passenger and freight traffic to rail from air and road, and by investing in resilient, sustainable assets.

The environment and facilities at stations are clearly a big part of the attractiveness and accessibility of rail.

Rail industry objectives Rail industry objectives

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

75 / 106

Stations can also be better-integrated, with facilities and infrastructure to support zero-emissions vehicles, active travel and new and shared mobility.

Finally, the energy-efficiency of the stations estate can be a significant contribution to the carbon contribution of the built environment.

This all places the station at the heart of the agenda to deliver decarbonisation through places.



Investment in Stations Appendix B: Rail industry forecasts

Appendix B: Rail industry forecasts Rail industry forecasts

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

77 / 106

Predicting the future is inherently uncertain, and that's certainly true of future rail growth and trends, where investment cases and asset lives mean long time-horizons.

So, when forecasting demand for both passengers and freight on rail, we deal with uncertainties and consider different scenarios for what might plausibly happen in the future.

To use taxpayers' money responsibly, build business cases that have resilience, and design solutions that will stand the test of time, we have to consider cautious as well as ambitious scenarios for growth.

We have a good view of how passenger demand has recovered from the impacts of the COVID-19 pandemic and accelerated social trends and working patterns, and have updated our national models for passenger demand and revenue forecasting.

We also work consistently with central government forecasts for economic growth and consider a plausible range of scenarios for passenger demand growth from this launchpad. But when considering investment opportunities and business cases, it's important to understand the particular drivers of change and uncertainty, the local context and other specific factors to create relevant forecasts.

So our strategic planners and expert economic analysts work with funders, transport authorities and stakeholders to build on solid national models, understand the specific factors, and develop the appropriate scenarios and range of forecasts to underpin a business case for investment.



Investment in Stations Appendix C: Rail industry planning processes

Appendix C: Rail industry planning processes Rail industry planning processes

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

Long-term planning

The Secretary of State for Transport has commissioned a long-term, 30-year strategy for the railway, to set the strategic context and key priorities for the sector. The five strategic objectives of meeting customers' needs, delivering financial sustainability, contributing to long-term economic growth, levelling up and connectivity, and delivering environmental sustainability, are at the heart of this long-term strategy and the foundation for route-based and network-wide strategic planning (see also Appendix A).

Network Rail is responsible for understanding and shaping what the future of Britain's railway looks like through the development of long-term plans.

This work is done by dedicated strategic planning teams, in each of Network Rail's regions and working network-wide across the whole system, including the future of freight.

They work closely with the Department for Transport, passenger and freight operators, sub-national transport bodies and other transport authorities and stakeholders to understand:

- → How the railway contributes to national and regional economic growth and social well-being.
- → What the railway is capable of and how it delivers a service to passengers and freight users.
- → What the potential changes to demand, passenger needs and patterns of train service will be in the future.
- → What kind of changes to the railway as a whole we should make in future.

On this basis, Network Rail produces and publish route- and network-wide strategies and provides strategic advice to those who fund and specify what the railway delivers.

This includes advice on the specification of passenger services, the integration of major programmes, and plans and priorities for investing in the capacity and capability of the railway.

This advice informs sub-national transport bodies' strategies, important industry decisions on the rail network enhancements pipeline and the use of available funding to improve the railway, as well as the specification of passenger service contracts.

Stations in long-term planning

These strategic planning teams work with operators and stakeholders to identify station improvement priorities, on each route and nationally, on the basis of:

- → Capacity to meet future demand.
- → Accessibility requirements.
- \rightarrow Alignment with asset management plans.
- \rightarrow Opportunities for investment.

Route-based strategies may consider the opportunities for and implications of new station proposals, in terms of their fit with intended strategies and the outputs and benefits they deliver. Equally, teams will work with and give advice to local and transport authorities looking to promote investment in stations.

All of this work is supported by Network Rail's team of transport planners focused on station passenger analysis, including the modelling of pedestrian movement into and around stations, accessibility and interchange analysis, and supporting passenger data and insight.

As well as long-term planning, this team supports the development, design and delivery of station improvement projects, from business case to mitigating construction impacts.

Appendix C: Rail industry planning processes Rail industry planning processes

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

80 / 106

Timetables that deliver on industry plans

The strategic planning process also leads into timetable planning. That is, the detailed assembly of the schedule for each and every train that runs day-in, day out across the railway.

Whether it's more frequent services, faster journeys, new connections or calling at additional stations on their journey, the benefits of new and improved services on the back of investment in rail, are only realised through changes to the timetable.

This is a complex process, co-ordinated by Network Rail, whose job it is to deconflict, produce and publish a national timetable that can be operated safely and reliably, and manage the risks associated with changes to that plan.

While over shorter horizons than the long-term planning process, big changes to the timetable are complicated and can have a long lead-time. And even small changes, like stopping at an additional station, can have deeper and further-reaching effects on a busy and interconnected network where other changes are also happening. Timetabling decisions are also based on the Sale of Access Rights – the process by which Network Rail gives passenger and freight operators the right to run certain numbers of trains on particular routes and call at particular stations. Network Rail has to consider the best overall economic use of finite network capacity, with the aim of enabling a robust, reliable timetable that realises intended industry strategies and delivers the benefits of investment.

Where there are competing demands for capacity in the timetable, the respective access rights an operator has will inform what gets prioritised.

The aim is for a clear line of sight from long-term plans through the sale of access rights to the allocation of capacity in the timetable.

So, when investing in the railway – including in stations – it's important to consider early on, with potential operators and Network Rail, when and how any changes to train services can be accommodated in access rights and timetable changes.



Investment in Stations Appendix D: Investment process flowcharts

Appendix D: Investment process flowcharts Output definition

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

82 / 106

Investment process flowcharts

The following charts show an example of the typical steps in the investment process. We will work with you to manage these for the needs of your project.

Output definition

This flowchart describes the project ideas, initiation and prioritisation process.



Appendix D: Investment Process Flowcharts Project feasibility

Investment in Stations NR/GN/CIV/100/08

83 / 106

100 series

June 2023

Project feasibility

This flowchart shows the initial project development process, where basic services are provided by us



Appendix D: Investment Process Flowcharts Option selection

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

84 / 106

Option selection

This flowchart shows the project development process, with development services provided by us.



Appendix D: Investment Process Flowcharts **Option development**

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

85 / 106



Investment in Stations
Appendix E: Case studies

Appendix E: Case studies Twickenham (TWI)

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

87 / 106



Introduction

- → Redeveloped large train station in London Borough of Richmond Upon Thames.
- → Located approximately 11 miles south west of Waterloo and operated by Southwest Trains

Investment type

- → Removal of existing structures; adjustment of platform canopies; construction of podium over railway lines; inclusion of green walls; new bridge structure; modern entrance design; passenger stair and lift access to platforms;
- → Public plaza with development of 115 apartments; combined heat and power plant; taxi rank; kiss and ride zone; 27 commuter car park spaces; 250 covered cycle spaces; public plaza; river walkway; and larger ticket hall.

Image E.1 Entrance to Twickenham station

Appendix E: Case studies Twickenham (TWI)

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

Train Service

- \rightarrow Six trains per hour from Twickenham.
- → 30 minute service frequency from Twickenham -Reading.
- → 30 minute service frequency from Twickenham -Windsor and Eton Riverside

Construction timeline:

- → Construction began: Spring 2017
- \rightarrow Completion date: 2020
- \rightarrow Opening date: 28 January 2020.

Objectives for the station

- → Modern facilities to cater for up to 6,000 people who pass through the station each day
- → Effective crowd management to cope with exceptionally busy periods where station may handle up to 30,000 passengers from the nearby stadium.
- $\rightarrow\,$ Improve general quality of local public transport and connectivity.
- → Enable wider regeneration in the area as a Twickenham Gateway project.

Funding and roles

- \rightarrow Total funding amounting to £60m.
- → Solum, the Network Rail and Kier joint venture, delivered the project.
- → Solum also delivered Phase 2 of project, which included 115 apartments and flexible-use floorspace for retail, finance etc.
- → Network Rail to receive 50% of overall profits from development for reinvestment in the railway.
- → Initial suggestion for a rejuvenated station previously proposed a more upscale development. The delivered proposal was created by Solum. The residential property component produced funding from the renovation of unused railway land.

Timeline

2010	Pre-application meeting held where Council approved platform extension plans.
2011	Application for planning permission submitted to Council.
2012	Committee report published, and decision approved. Twickenham Residents Action Group (TRAG) challenge decision – judge rejection. TRAG appealed decision – dismissed by Court of Appeal Judges.
2017	Solum appoints Osborne as contractors . Works commence with temporary ticket office opening and main construction work beginning.
2020	Station forecourt opened, and development is completed.

Appendix E: Case studies Reading Green Park (RGP)



Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

89 / 106



Introduction

- → New railway station served by Great Western Railway.
- → Located in Southwest Reading on the Reading to Basingstoke line, between Reading West and Mortimer stations.

Investment type

- → Two platforms linked by a footbridge and passenger lifts; waiting shelter; seating; passenger help point; accessible station building including ticket hall (ticket gates, ticket machines, toilets, baby changing facilities); retail desk; and seating.
- → Transport interchange in front of the station with 6 bus stops and a taxi rank.
- → Cycle parking and 2 car parks available including 12 blue badge spaces and drop off parking.

Image E.2 Reading Green Park station

Appendix E: Case studies Reading Green Park (RGP)

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

90 / 106

Train service:

Served by a half-hourly service North to Reading and South to Basingstoke through the day.

Timeline

- \rightarrow Construction began: Spring 2019.
- \rightarrow Date completed: Winter 2022.
- \rightarrow Opening date: early 2023.

Objectives for the station

- \rightarrow Alleviate road congestion on the A33 corridor.
- → Improve access to developments such as Green Park business park and Green Park Village.
- → Improve urban connectivity (key objective of Thames Valley Berkshire's Strategic Economy Plan).

Alternatives

Other options considered were to further improve bus services, although that was deemed not to address the road congestion issues affecting Green Park and surrounding areas.

Funding and roles

- → Co-funder: Thames Valley Berkshire LEP.
- → Network Rail's role: Produced the concept designs for the station.
- → Co-funder's role: Representatives from Thames Valley Berkshire LEP, Reading Borough Council, Network Rail and First Great Western in the project steering group.
- → Private sector/developer and role: Private sector has funded preliminary site works. Development of 735 homes at Green Park Village conditional on the station being developed.
- \rightarrow Campaign/Community Rail Partnership role: N/A.

Funding source	Amount £m
Thames Valley Berkshire LEP's Local Growth Fund	9.70
GWR	1.25
DfT New Stations Fund	4.777
Network Rail	2.015
Local Developer Contributions	5.6
Total	23.3

Figure E.1 RGP funding breakdown

How the project was approved

- → Initial plans for the station were announced in 2007 and in March 2009 consent was given to Network Rail by the ORR for the disposal of land for the station. However, the initial plans were suspended due to a scale back of a wider development strategy in South Reading.
- → The FBC was prepared by Reading Borough Council in November 2014, in collaboration with Network Rail, First Great Western and DfT's Rail Executive.
- → The scheme was granted approval by the Berkshire Local Transport Body in November 2014. and planning permission was secured in 2015.
- → Scheme and spend approval were granted by the Policy Committee in September 2017.

Appendix E: Case studies Lea Bridge (LEB)



Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

91 / 106



Introduction

- \rightarrow New railway station served by Greater Anglia.
- → Located between Tottenham Hale and Stratford stations on the Lea Valley line.

Investment type

→ Two platforms for 8-car trains; a new passenger footbridge and lifts; station canopy; ticket vending machines; Oyster card readers; waiting shelters; help points; customer information screens; CCTV coverage; and cycle storage.

Image E.3 Opening of Lea Bridge station

Appendix E: Case studies Lea Bridge (LEB)



Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

92 / 106

Train service

→ 30-minute service frequency towards Stratford or Tottenham Hale.

Timeline

- \rightarrow Construction began: August 2015.
- \rightarrow Opened: 16 May 2016.

Objectives for the station

- → Invest funds from S106 contributions into local transport connectivity.
- → Improve public transport access to future and existing employment and services sites.
- → Improve general quality of local public transport connectivity.
- \rightarrow Enable wider regeneration in the area.
- \rightarrow Provision of adequate station facilities.

Alternatives

In the feasibility report, six design options were considered for the proposed station. The preferred option was a new unstaffed station with access from Argall Way.

Funding and roles

- → London Borough of Waltham Forest was a cofounder and developed the case for the scheme.
- → The scheme was transferred to Network Rail for development and delivery from GRIP Stage 3 in 2013.
- → Olympic Park and Westfield Stratford provided S106 funding.
- → Feasibility study commissioned by LBWoF in 2012 to re-open the station. Approval of plans to re-build and re-open the station were announced in 2013.

Funding source	Amount £m
London Borough of Waltham Forest	5.034
Stratford City Development [Section 106]	5.485
DfT New Stations Fund	1.131
Total	11.65

Figure E.3 LEP funding breakdown

How the project was approved

- \rightarrow LBoWF and TfL developed the business case.
- $\rightarrow\,$ Department for Transport approved the business case.

Appendix E: Case studies Leeds station southern entrance (LDS)

Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

93 / 106



Introduction

- → Changes to an existing national station with a new Southern entrance.
- → Served by CrossCountry, LNER, Northern and TransPennine Express.

Investment type

- → Customer information screens; ticket vending machines; and automated ticket gates.
- → Installation of passenger lifts, stairs, and escalators to take passengers to and from the city's south bank to the station concourse.

Image E.4 Southern entrance to Leeds station

Appendix E: Case studies Leeds station southern entrance (LDS)

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

94 / 106

Train service:

No changes to train services as a result of the new Southern entrance.

Timeline:

- \rightarrow Construction began: April 2014.
- \rightarrow Opened: 4 January 2016.

Objectives for the station

- → Improve sustainable access to Leeds.
- → Maximise economic growth by helping Leeds to become more competitive and enabling future employment and population growth.
- → Recognising the importance of the city centre to the future economy of Leeds City Region, support and facilitate sustainable growth of Leeds, particularly to the south of the city centre.
- → Minimise journey times for people accessing Leeds Station to/from the south.
- → Meet existing and future passenger flow requirements to the south of Leeds Station and those within the station are maintained or improved.

Alternatives

No alternatives were identified.

Funding and roles

- $\rightarrow~$ West Yorkshire Combined Authority was the co-funder.
- → Network Rail's was the co-sponsor of Transport and Works Act Order (TWAO).
- \rightarrow Network Rail delivered the scheme.
- $\rightarrow\,$ WYCA made the funding application for DfT funding and sponsored the TWAO.
- → Train Operating Companies' agreement with Network Rail (station change and increase in station access charges).
- → There was no campaign/Community Rail Partnership involvement.

Funding source	Amount £m
DfT	90%
Local contributions	10%
Total	£20.4m

Figure E.5 LDS funding breakdown

How the project was approved

- → Business case was funded and progressed by WYCA. Business case was updated in mid-2010 and revised funding was confirmed in February 2011.
- → Department for Transport approved the business case.
- → TWAO application submitted in May 2012, public inquiry in November/December 2012, Order granted July 2013.

Appendix E: Case studies Edinburgh Gateway (EGY)



Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

95 / 106



Introduction

- \rightarrow New gateway rail station served by ScotRail.
- → Located to the West of Edinburgh nearby Edinburgh Airport.
- → Located on the Fife Circle line located between Dalmeny and South Gyle stations.

Investment type

- → Two 265 metre (10 car) platforms with an accessible footbridge link and large station building with 1500m2 of concourse and circulation space including passenger facilities.
- → Pedestrian underpass below the A8 connecting the station to the Gyle Centre car park.
- $\rightarrow\,$ Tram and train interchange built within the station providing connectivity to the airport.

Image E.5 Edinburgh Gateway station

Appendix E: Case studies Edinburgh Gateway (EGY)



Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

96 / 106

Train service:

- → Served by a half-hourly service on the Fife Circle line through the day, more during peak times.
- $\rightarrow\,$ Also served hourly by trains to Perth, Dundee, and Inverness.

Timeline

- \rightarrow Construction began: April 2015.
- \rightarrow Date completed: 9 November 2016.
- \rightarrow Opening date: December 2016.

Objectives for the station

Part of the Edinburgh Glasgow Improvement Programme (EGIP), aimed at improving connectivity between Edinburgh and Glasgow with improved journey time and passenger experience across central belt Scotland, better national connectivity to Edinburgh Airport, integration with Edinburgh Trams and better connectivity to the Fife Line service.

Alternatives

In 2003 there was a proposed underground airport station, however at an estimated cost of ± 650 million it was deemed too expensive.

Funding and roles

The total cost of Edinburgh Gateway was £41m and funded by Transport Scotland.

Network Rail's role was to oversee station delivery.

How the project was approved

- → It was approved as part of the Edinburgh Glasgow Improvement Plan, agreed as a Full Business Case in 2013 alongside several other infrastructure projects.
- \rightarrow Transport Scotland approved the business case.

Investment in Stations Appendix F: Document references

Appendix F: Document references Document references

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

98 / 106

Appendix F lists the most relevant standards and guidance documents referenced within this guide. These documents are drawn from a range of sources and have been used in the development of this guide.

The list is not intended to be exhaustive but to provide the user of this guide with a sound basis upon which to deliver station investments.

Relevant Network Rail standards and guidance documents:

- \rightarrow Station Design Manual
- \rightarrow Network Rail's principles of good design
- \rightarrow Design Advice Panel
- \rightarrow Design Manual for Medium to Small Stations
- \rightarrow Medium to Small Station Implementation Manual
- → Project Acceleration in a Controlled Environment PACE
- \rightarrow Station Design Guidance
- \rightarrow Station Masterplanning Guidance
- → Third Party Funded Railway Car Parks Design Manual
- \rightarrow The Social Value Framework
- \rightarrow Design Manual for Medium to Small Stations
- → Medium to Small Station Implementation Manual
- \rightarrow Network rail Regulatory and licensing
- → Better Value Rail Toolkit
- \rightarrow Network rail is open for business

Other useful documents:

- \rightarrow The Value of Station Investment RDG
- \rightarrow The Green Book (2022) HMT
- → Transport Business Case Guidance DfT
- → Rail Network Enhancements Pipeline DfT
- → Value for Money Framework DfT
- \rightarrow Transport Analysis Guidance (TAG) DfT
- → Community Rail Partnership Membership & Advice CRN
- → Non Profit Funding Advice & Tips Small Grants Fund CRN
- → Transport Analysis Guidance Unit E1: Evaluation DfT
- → Scottish Transport Analysis Guide (Scot-TAG) Transport Scotland



Investment in Stations Appendix G: Definitions

Appendix G: Definitions **Definitions**

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

100 / 106

ASPRO Automated Ticket Gates

ASR Appraisal Specification Report

BAPA Basic Asset Protection Agreement

BIM Building Information Modelling and Management

BSA Basic Service Agreement

BVR Better Value Rail Toolkit

CABE Commission for Architecture and the Built Enviroment

CapEx Capital expenditures

CSM Regulations Common Safety Method for Risk Evaluation and Assessment **CPtED** Crime Prevention through Environmental Design

DCO Development Consent Order

DfT Department for Transport

DPTAC Disabled Persons Transport Advisory Committee

DSA Development Services Agreement

FBC Full Business Case

GBR Great British Railways

GBRTT Great British Railways Transition Team

GRIP Governance for Railway Investment Projects IA Implementation Agreement

JV Joint venture

LPA Local Planning Authority

LTAs Local Transport Authorities

MVP Minimum Viable Product

NR Network Rail

NSIP National Stations Improvement Programme

NTSN National Techincal Specifcation notice

OAR Option Assessment report

OBC Outline Business Case

Appendix G: Definitions Definitions

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Investment in Stations 100 series NR/GN/CIV/100/08 June 2023

101 / 106

OpEx Operating expenses

ORR Office of Rail and Road

PACE Project Acceleration in a Controlled Enviroment

PRM Persons with reduced Mobility

QRA Quantitative Risk Assessment

RDG Rail Delivery Group

RIBA Royal Institution of British Architects

RNEP Rail Network Enhancements Pipeline

ROGS The Railways and Other Guided Transport Systems

RUS Route Ulilisation Strategy **SFO** Station Facilities Operator

SMART Specifc, measurable, relevant and time-bound

SOC Strategic Outline Case

STBs Sub-national Transport Bodies

SV Social value

TAG Transport Analysis Guidance

TAWS Transport and Works Act Scotland

TfL Transport for London

TfW Transport for Wales

TOC Train Operating Company **TRAG** Twickenham Residents Action Group

TSIs Technical Specifications for Operability

TUMS Technical User Manuals

TUPE Transfer of Undertakings Protection of Employment

TWA Transport and Works Act

TWI Twickenham

VfM Value for money

Investment in Stations
Appendix H: Image Credits

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103 / 106

Section 0

- 0.1 Aerial view of Stratford station
- 0.2 Worcestershire Parkway station entrance

Section 1: Introduction

- 1.1 Denmark Hill upgrade during construction
- 1.2 Liverpool Street station
- 1.3 Epsom station entrance
- 1.4 Artwork at Kilmarnock station underpass
- 1.5 Kindertransport history panel at Lowestoft station
- 1.6 Improvements to Squire Gates station
- 1.7 New car parking at Mirfield
- 1.8 Transport interchange at East Croydon station
- 1.9 Paddington taxi interchange
- 1.10 Southern entrance to Leeds station
- 1.11 Improvements at Doncaster station
- 1.12 Urban realm improvements at Sheffield station
- 1.13 Newcastle portico refurbishment
- 1.14 Kings Cross western concourse
- 1.15 Sketch of Bristol Rail Regenration Programme
- 1.16 Edinburgh Gateway station exterior
- 1.17 Worcestershire Parkway station

- 1.18 Reading Green Park station
- 1.19 Station Investment: A catalyst for local economic growth
- 1.20 Network Rail's Principles of Good Design document and symbols
- 1.21 Network Rail Environmental Sustainability Strategy
- 1.22 Bristol Temple Meads station

Section 2:

Station Enhancement Proposals

- 2.1 Investing in an existing station Example with new footbridge and expanded ticket office
- 2.2 Relocating an existing station
- 2.3 Planning a new station
- 2.4 Network Rail Modular Hub Station
- 2.5 Celebrating the completion and opening of King's Cross Square
- 2.6 Redevelopment of Kings Cross station
- 2.7 Community volunteers at Mytholmroyd station
- 2.8 Eastbourne station refurbishment
- 2.9 Community engagement event
- 2.10 Network Rail routes and regions
- 2.11 Four Train Operators at Kings Cross station
- 2.12 Transformation of redundant buildings at Haltwhistle Station for community use
- 2.13 Birmingham New Street station upgrade
- 2.14 Reading station concourse

Section 3:

- **Developing a Proposal**
- 3.1 Better Value Rail Toolkit resources
- 3.2 Public consultation event for Northern Hub proposals
- 3.3 Stakeholders working with Network Rail at Bow Street station

Appendices

- E.1 Entrance to Twickenham station
- E.2 Reading Green Park station
- E.3 Opening of Lea Bridge station
- E.4 Southern entrance to Leeds station
- E.5 Edinburgh Gateway station Reading
- H.1 station ntrance

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104 / 106

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Investment in Stations Appendix I: Promoter's Checklist

Appendix I: Promoter's Checklist

Promoter's checklist

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Appendix I presents several questions that promoters of station enhancements should consider as they start thinking about moving their proposition from an idea to implementation. The development stages are covered through this guidance.

While the detailed responses to each of these questions will be developed as a project progresses through the stages, it is helpful to have them in mind throughout.

1. What are you tying to achieve, and do you have a workable idea?

- → What need is the proposed station enhancement meeting? i.e. what is the investment intended to achieve: increased demand, customer satisfaction, revenue and capacity, or is it more about greater connectivity, improving the local economy and new residential development?
- → What other options exists to achieve your objective(s)?
- $\rightarrow\,$ Is the proposal likely to be in line with local policy objectives and development plans?
- → Is the proposal likely to affect existing and planned rail services and stations?

These questions and the associated issues for consideration are explained in more detail in Section 2.

2. Can a compelling case be made?

It is highly likely that a business case will be necessary for any sizeable station investment which needs public sector funding. A business case sets out the what, where, who in terms of why an investment is needed, its rationale, the consideration of alternatives and the preferred option way forward. It also sets out the benefits, costs and establishes value for money. The types of questions you should consider are:

- \rightarrow What do detailed project costs look like?
- \rightarrow What are they dependent on?
- → What benefits would the project bring locally and to the wider area?
- → Does the project directly support new housing or economic growth?
- → What impact would the project have on existing transport use?
- → What external contributions (for example, from developers) might assist the case?
- \rightarrow How is the project to be funded and financed?

The Business Case process is set out in detail along with various signposting to additional support and resources in Section 3.

3. Does the project have the support it needs and how will Network Rail help?

Network Rail is working to make investment in the railway easier, less time consuming and less expensive. You will need to engage with Network Rail to deliver your station investment proposal.

"Non-contestable services" are services associated with enhancing stations that only Network Rail can deliver. However, there are services that could be provided by either Network Rail or third parties – these are "contestable services"

- → Do you know that you will need a formal agreement with Network Rail to deliver your idea? And do you know what type of agreement you will need?
- → Are partners in place who have a stake in the project and will help steer it?
- → Do you recognise at what stage your idea is at in the industry enhancement process and how this aligns to the issues considered in Sections 1 and 2 of this report?
- → Are there supporters and stakeholders who will act as a public advocates?

These questions and associated issues are discussed in more detail in Section 4.





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