

## Core data compliance monitoring

### Department for Transport – Office for Rail and Road (ORR)

RPC rating: **validated**

#### Description of proposal

Train and station operators are required to establish and comply with a “Complaints Handling Procedure (CHP)” for handling complaints about licenced activities. They are also required to establish and comply with a set of “Disabled People’s Protection Policies (DPPP)” for supporting disabled or impaired passengers. This measure introduces a “*core data*” compliance monitoring framework to monitor and evaluate licence holders' performance in these areas. Licence holders are required to provide qualitative and quantitative data at agreed intervals against 14 individual performance indicators, which will allow the ORR to assess licensees' compliance with CHP and DPPP.

#### Impacts of proposal

A total of 28 licence holders – train and station operators – are affected, including franchised operators, open access operators, concessions and Prestwick and Southend airports.

The cost to business of the proposal relates to the allocation of staff to gather the required information and submit a one page report to the ORR. The regulator estimates – based on consultation responses from industry – a one-off requirement for three days per company to understand the ORR’s requirements and train appropriate staff and a recurrent commitment of half a day per four-week rail period. This was validated by the ORR at subsequent core data industry meetings.

The regulator has assumed that corresponding wage plus non-labour costs are £23.85 per hour per company. The initial costs to business are therefore estimated at approximately £572 per company; across the 28 affected businesses, this totals £16,000.

The annual ongoing cost is calculated as £23.85 per hour x 4 hours per rail period x 13 rail periods per year = £1,240.20 per year per company, totalling £34,726 per year across all affected businesses.

The RPC verifies the estimated equivalent annual net direct cost to business (EANDCB) of £0.0 million. This will be a qualifying regulatory provision that will score under the Business Impact Target.

### Quality of submission

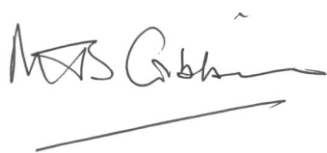
The assessment is clear and concise, and provides sufficient assurance to the RPC that the EANDCB of this measure rounds to zero.

### Departmental assessment

| Classification   | Qualifying regulatory provision |
|--|---------------------------------|
| Equivalent annual net direct cost to business (EANDCB) | £0.0 million                    |
| Business net present value                             | £0.3 million                    |
| Societal net present value                             | £0.3 million                    |

### RPC assessment

| Classification                                  | Qualifying regulatory provision |
|---|---------------------------------|
| EANDCB – RPC validated <sup>1</sup>             | £0.0 million                    |
| Business Impact Target (BIT) Score <sup>1</sup> | £0.0 million                    |
| Small and micro business assessment             | Not required                    |



**Michael Gibbons CBE**, Chairman

<sup>1</sup> For reporting purposes, the RPC validates EANDCB and BIT score figures to the nearest £100,000.