

**RAIL PUBLIC REGISTER COPY  
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Dated 13 April 2023

- (1) The Secretary of State for Transport
- (2) The Chiltern Railway Company Limited

# **FINAL BUSINESS PLAN**

## **Collation of Business Plan Commitments**

**Chiltern**

**Business Plan Commitments 2023 - 2024**

## Chiltern BPCs 23/24

### 1 Cost Savings with Network Rail

- 1.1 The Operator shall, by no later than 31 March 2024, collaborate and engage with Network Rail and other Train Operators, including via continued engagement in the Rail Efficiency Board, to explore, develop and (subject to the inclusion of any additional costs in the Cost Budget) implement a plan for sharing property and training and/or health facilities for the purpose of delivering cost savings.
- 1.2 In this Business Plan Commitment:
- (a) **“Rail Efficiency Board”** means the North West & Central Railway Efficiency Property Board which aims to identify areas within the Network Rail and Train Operator Company Property Estates where closer collaboration can drive out inefficiencies and create benefits from a one estate approach to management and use of rail industry land and property.

### 2 Customer Experience Maturity Model

- 2.1 Upon the Secretary of State instigating development of its Customer Experience Maturity Model, the Operator shall, by no later than 31 March 2024, collaborate and engage with the Secretary of State and other relevant Stakeholders (including Network Rail, RDG and the ORR) in the development and (subject to the inclusion of any additional costs in the Cost Budget), implementation of an industry-wide maturity model for customer experience, such maturity model being a framework for assessing business capability (with respect to customer experience) against defined levels of maturity to drive continuous improvement in rail services for customers.

### 3 Smart Ticketing

- 3.1 The Operator shall, by no later than 15 December 2023, identify and issue to the Secretary of State for comment and approval, KPI's for increasing the proportion of journeys that are made using Smart Ticketing Schemes.

### 4 Station Improvement Schemes and Community Improvement Schemes

- 4.1 In this Business Plan Commitment:
- (a) **“Station Improvement Schemes”** means schemes to improve the facilities, safety and/or customer experience at Stations; and
- (b) **“Station Improvement Schemes Pipeline”** means a list of proposed Station Improvement Schemes providing sufficient detail to allow informed funding decisions to be made on their proposed implementation as part of the annual Business Plan process or as and when any additional funding may become available during a Business Plan Year, including:
- (i) forecast costs and timescales;
- (ii) likely possessions required and their expected impacts, and any other significant delivery risks; and
- (iii) a suggested prioritisation of potential schemes by reference to their anticipated benefits.
- (c) **“CCI”** means funding for the development and implementation of local rail improvement schemes which provide community benefits or address areas of social need (**“CCI Projects”**)]

- 4.2 The Operator shall, by no later than [REDACTED<sup>1</sup>], develop the Station Improvement Schemes Pipeline and thereafter:
- (a) maintain it throughout the Contract Term; and
  - (b) as part of the annual Business Plan process under paragraph 3 (*Annual Business Plan Process*) of Chapter 7.7 (*Business Plan*) of this Contract, in each Business Plan Year submit the Station Improvement Schemes Pipeline for the Secretary of State's consideration; and
  - (c) subject to:
    - (i) the inclusion (and terms) of Business Plan Commitments in the relevant Business Plan (including (for the avoidance of doubt) as from time to time updated pursuant to any Business Plan Revisions); and
    - (ii) the inclusion of the costs in the relevant Cost Budget;
  - (d) implement such Station Improvement Schemes as may be agreed between the Parties (or determined by the Secretary of State) in accordance with the relevant Business Plan.
- 4.3 The Operator shall:
- (a) by no later than 30 June 2023, agree with the Secretary of State the Station Improvement Schemes to be delivered during Contract Year 2023/2024; and
  - (b) deliver the agreed Station Improvement Schemes by no later than [REDACTED<sup>2</sup>].
- 4.4 The Operator shall:
- (a) by no later than 31 July 2023, provide the Secretary of State with a proposal on the allocation of the CCI to CCI Projects, such proposal to include sufficient details including which CCI Projects will deliver the best community benefit in the areas around the Operator's rail network.
  - (b) upon Secretary of State notifying the Operator that it approves such CCI Projects (the "**Approved CCI Projects**"), deliver the Approved CCI Projects by no later than [REDACTED<sup>3</sup>].
- 4.5 The Operator shall utilise appropriate forms of insight to identify the needs and priorities of passengers (including those with disabilities) and local communities when developing the Station Improvement Schemes Pipeline and CCI Projects, including undertaking consultations and analysis of feedback, complaints and suggestions obtained via existing customer relations channels.
- 4.6 The Operator shall incur a maximum expenditure which does not exceed:
- (a) £565,000 (five hundred and sixty-five thousand pounds) in delivering its obligations under paragraphs 4.3.
  - (b) £164,000 (one hundred and sixty-four thousand pounds) in delivering its obligations under paragraph 4.4.

## 5 Minor Works

- 5.1 The Operator shall, by no later than [REDACTED<sup>4</sup>], deliver all the initiatives for passengers with accessibility needs as outlined in the Minor Works Budget.

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- 5.2 The Operator shall, in carrying out its obligations under paragraph 5, incur a maximum spend which does not exceed [REDACTED<sup>5</sup>].

## 6 National Accessibility Audit

- 6.1 The collection of data for the National Accessibility Audit (“**NAA Data Collection**”) is hereby agreed between the Parties to be an additional “Specified Matter” for the purposes of Chapter 3 of the Contract (*Collaboration*).

Accordingly, the Operator shall, subject to instruction from the Secretary of State, and subject to the other relevant provisions of Chapter 3 of the Contract (*Collaboration*), collaborate fully and effectively with each of the Specified Persons in respect of the NAA Data Collection in accordance with paragraph 1.1 of Chapter 3 of the Contract (*Collaboration*).

## 7 Enhanced Disability Awareness Training

- 7.1 The Operator shall, by no later than [REDACTED<sup>6</sup>] deliver an enhanced disability awareness training programme to all drivers and customer-facing Business Employees, including the executive board members of the Operator’s board of directors, who have yet to receive enhanced disability awareness training.
- 7.2 The Operator shall develop a plan to ensure that all customer-facing business employees receive refresher disability awareness training every two (2) years throughout the Contract Term.

## 8 Chiltern Rail Accessibility Group

- 8.1 The Operator shall, by no later than 31 July 2023, increase the size of the Accessibility Group from eight (8) to fifteen (15) members to maximise the breadth of input across various customer needs.
- 8.2 In this Business Plan Commitment:
- (a) “**Accessibility Group**” means the Chiltern Railways Accessibility Group which is the forum in which Chiltern hold discussions with passengers with various accessibility needs about their experiences of using the railway, in order to better understand how their customer experience can be improved.

## 9 Accessibility Ramps

- 9.1 The Operator shall, by no later than [REDACTED<sup>7</sup>]:
- (a) install ramps at all Stations (including on platforms at unstaffed Stations);
- (b) undertake all actions necessary to ensure that passengers with disability needs are able to request its Passenger Assist service at all Stations.
- 9.2 In this Business Plan Commitment:
- (a) “**Passenger Assist**” means the service Chiltern customers are able to request where they require some additional help from staff with their journeys.

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**10 Social Value Report**

- 10.1 The Operator shall, by no later than 31 December in each Contract Year, produce and issue to the Secretary of State for comment, a social value report which shall include:
- (a) an overview of the progress the Operator has made in delivering a positive social impact; and
  - (b) future projects, aims and measures which the Operator intends to develop and implement with the intention of leaving a positive and lasting impact on the local communities in relation to which the Passenger Services are provided,
- (the “**Social Value Report**”).
- 10.2 The Operator shall, once the Parties have agreed the content of the Social Value Report, publish the Social Value Report in such readily accessible formats as the Secretary of State may require (including in booklet or other similar hard copy formats, in electronic formats (such as on the Operator’s website, through social media channels and by email)).
- 10.3 The Operator shall:
- (a) utilise the RSSB’s Rail Social Value Tool in developing the Social Value Report to monitor and measure the social value of its projects and day to day operations; and
  - (b) produce the Social Value Report in line with the Secretary of State’s and RSSB’s relevant guidance and requirements as they may be updated from time to time.

**11 Station Social and Commercial Development Plan (SSCDP)**

- 11.1 The Operator shall, by no later than 30 September 2023, develop and submit to the Secretary of State for comment and approval, its Station Social and Commercial Development Plan (SSCDP).
- 11.2 The SSCDP is a 10-year forward-looking plan which should contain evidence of the operator’s commitment towards meeting the Department’s requirements around realising the commercial potential of stations and enhancing their social amenity to both customers and the communities within which they sit.

**12 Operation of Stratford Shuttles**

[REDACTED<sup>8</sup>].

**13 Operations of West of Birmingham**

[REDACTED<sup>9</sup>].

**14 Trainee Drivers**

- 14.1 The Operator shall, by no later than [REDACTED<sup>10</sup>], recruit at least [REDACTED<sup>11</sup>] additional trainee drivers through the Rail Delivery Group’s Train Driver Academy.

**15 Remote Condition Monitoring**

- 15.1 The Operator shall, by no later than 1 May 2024, create and submit to the Secretary of State for comments, a report outlining the effectiveness and benefits of the ongoing Remote Condition

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Monitoring Trial (the "**RCM Trial**"), including any recommendations for the next steps to maximise the output of the RCM Trial and potential benefits to the wider transport sector.

15.2 In this Business Plan Commitment:

- (a) "**RCM Trial**" means a project involving the mounting of sensors on rolling stock for the purpose of collecting data on the performance of specific components. Analysis of the data over time will be used to predict when failures will occur, thus reducing the cost of rectification and the detrimental impact to customers of units failing when in passenger service.

## 16 Replacement Battery Chargers

16.1 The Operator shall, by no later than [REDACTED<sup>12</sup>], replace the unit battery charging system at Aylesbury Depot with a new unit battery charging system.

16.2 The Operator shall incur a maximum expenditure which does not exceed [REDACTED<sup>13</sup>] in delivering its obligations under this paragraph 16.

## 17 Improve Depot Safety

17.1 The Operator shall, by no later than [REDACTED<sup>14</sup>]:

- (a) undertake such works as are required to improve the walkways, signage and demarcation in existence at each of Banbury depot and Stourbridge depot so as to ensure safe access for Business Employees at the respective depots;
- (b) install a new Building Energy Management System at Aylesbury depot so as to address an ORR Improvement Notice relating to staff exposure to diesel engine exhaust emissions.

17.2 In this Business Plan Commitment:

- (a) "**Building Energy Management System (BEMS)**" means a computer based centralised system that helps manage, control and monitor particular engineering services within a building. BEMS connect a building's systems (for example, lighting, HVAC, and plant room equipment) to create a single, central platform to manage a building's energy consumption.

## 18 Fleet Strategy

18.1 The Operator shall, by no later than [REDACTED<sup>15</sup>]:

- (a) conclude the Class 165 Hydrive unit trial;
- (b) convert the Class 165 Hydrive unit back to a regular diesel unit and return it to regular passenger service; and
- (c) deliver to the Secretary of State a report outlining learnings from the Class 165 Hydrive unit trial that the wider railway industry can benefit from;
- (d) monitor the performance of the Class 168 HybridFLEX unit, including monitoring unit reliability, battery performance, fuel usage and emissions;

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- (e) shall deliver a report to the Secretary of State every quarter setting out the results of the Class 168 HybridFLEX unit monitoring exercise, such report to also include where appropriate, all associated performance data; and
- (f) once sufficient data is available, report on and discuss with the Department for Transport the credibility of the full fleet fitment of the Class 168 HybridFLEX technology and make an informed recommendation as to whether HybridFLEX offers a viable solution for the wider Class 168 fleet.

18.2 The Operator shall during the Contract Term:

- (a) identify and propose to the Secretary of State a credible DMU fleet cascade option which is suitable for long-distance operation and is better for the environment than the current Train Fleet and can replace the existing loco-hauled coaching stock;
- (b) outline to the Secretary of State, options for implementing decarbonisation technology to reduce emissions within the proposed DMU fleet; and
- (c) subject to approval from the Secretary of State and subject to the inclusion of any additional costs in the Cost Budget, introduce the DMU fleet into Passenger Services.

18.3 In this Business Plan Commitment:

- (a) “**Class 165 Hydrive**” means the project to convert a Class 165 DMU into to a low-emission electric hybrid drive train to reduce noise and emissions in operation.
- (b) “**Class 168 HybridFLEX**” means the project to convert a Class 168 DMU into a hybrid-powered train that will operate using a combination of diesel and electric power, to cut noise emissions in stations and deliver zero emissions when operating under battery power.

## 19 HVO (Hydrotreated Vegetable Oil) Fuel

- 19.1 The Operator shall, by no later than 30 April 2023, procure a supplier of HVO fuel and install a new fuel tank at Stourbridge Depot.
- 19.2 The Operator shall, by no later than 30 April 2023 and thereafter unless otherwise instructed by the Secretary of State, use HVO fuel in the operation of its Class 68 locomotives (except in circumstances where dispensation not to is granted by the Secretary of State).
- 19.3 The Operator shall, by no later than [REDACTED<sup>16</sup>], carry out a study and submit a report to the Secretary of State on the technical and financial implications of using HVO fuel in its Class 68 locomotives, as well as the potential for implementation of HVO fuel across the wider Chiltern fleet.

## 20 Decarbonisation Strategy 2050

- 20.1 The Operator shall, by no later than 31 March 2024 and working in collaboration with Network Rail, develop, finalise and submit to the Secretary of State a decarbonisation strategy and roadmap which shall include:
  - (a) a strategy and long-term pathway towards total decarbonisation of both traction and non-traction energy by 2050;
  - (b) a full set of proposed milestones, and validated science-based targets for carbon emissions to be achieved by the Operator within the Contract Term; and
  - (c) details on how the Operator shall measure water consumption, set appropriate reductions targets and deliver the relevant KPIs.
- 20.2 The Operator shall revise the draft decarbonisation strategy to reflect any comments received from the Secretary of State.
- 20.3 Following finalisation of the decarbonisation strategy, the Operator shall provide regular written updates to the Secretary of State every 6 months throughout the Contract Term, setting out its

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progress towards the achievement of the objectives and targets set out in the decarbonisation strategy.

## **21 Recycling Strategy**

The Operator shall by no later than 15 December 2023, review its current recycling options and submit to the Secretary of State a recycling strategy, setting out its plan to ensure that at least 80% of waste is recycled.

## **22 Noise Monitoring**

22.1 The Operator shall, as part of the sustainable rail strategy, work collaboratively with RSSB and Network Rail in order to develop a strategy for the monitoring and management of environmental noise from its trains and at its Stations (including from train warning horns) and shall publish such strategy by no later than 31 March 2024 and act in a manner consistent with its proper implementation through annual action plans.

## **23 Water Meters**

23.1 The Operator shall, by no later than [REDACTED<sup>17</sup>], review all its Stations, Depots and other relevant sites and conduct a feasibility study which shall focus on the practicality and affordability of installing automatic meter reading water meters at these locations. Where the pipes at these locations are smaller than 18mm in diameter, the study shall focus on the feasibility of installing data loggers.

## **24 Air Quality Monitoring**

24.1 The Operator shall, by no later than 31 March 2024 and working with RSSB, develop a plan for improving air quality at Stations which shall include:

- (a) approach to establishing baseline air quality data;
- (b) agreed priorities and potential mitigations; and
- (c) targets to improve air quality aligned to agreed industry-wide approach and/or policy, (the "Air Quality Plan").

## **25 EFQM**

25.1 The Operator shall, by no later than 30 September 2023, utilise its employees who are trained EFQM assessors to complete a self-assessment of its business in line with the EFQM European Foundation for Quality Management ("EFQM") model.

25.2 The Operator shall summarise the findings and recommendations from the self-assessment in a report and shall submit such report to the Secretary of State by 31 October 2023.

## **26 Connected Leaders**

26.1 The Operator shall, by no later than 31 March 2024, ensure that at least two senior Business Employees participate in the connected leaders programme.

## **27 Safeguarding Strategy**

27.1 The Operator shall, by no later than 15 December 2023, develop, test and submit to the Secretary of State for approval, a safeguarding strategy for implementation in Contract Year 2024/2025, such strategy to focus on, amongst other things, suicide prevention, caring for vulnerable rail users,

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minimising the risk of people trafficking, county lines organised crime, and weapons and violence against women and girls.

## **28 Staff Development**

- 28.1 The Operator shall, each Quarter, provide the Secretary of State with a report outlining the progress it has made in each of the staff development initiatives outlined below:
- (a) Customer service training on delivering proactive customer service and passenger information during disruption to the following employees:
    - (i) platform employees;
    - (ii) gateline employees;
    - (iii) ticket office employees;
    - (iv) assistance point employees;
    - (v) train managers; and
    - (vi) customer service inspectors.
  - (b) Professional development programmes for executive leaders in its business.
- 28.2 The Operator shall, by no later than 31 October 2023, provide a report to the Secretary of State on the feasibility of introducing a comprehensive coaching and mentoring network within its business.
- 28.3 The Operator shall, by no later than **[REDACTED<sup>18</sup>]** and subject to the outcome of the review and approval of the Secretary of State, begin implementing the recommendations of the review in order to support the personal and professional development of its employees.

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