

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

Providing a world class railway service is not just about running a safe, punctual, reliable service – it is also about providing timely and accurate customer - focused information under all circumstances that anticipates and meets the needs of every passenger.

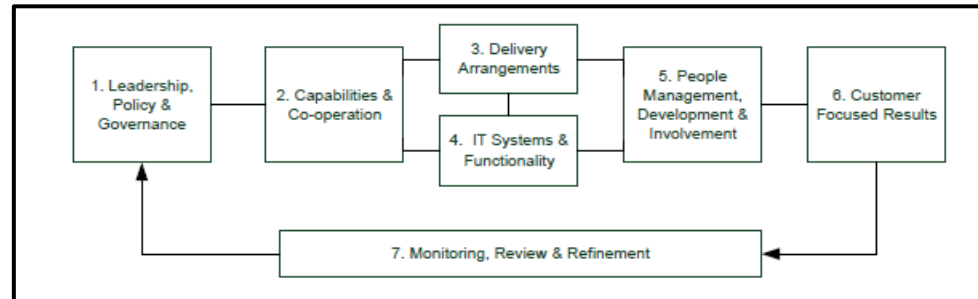
The Customer Information Measure (CIM) provides a means to measure and evaluate the policies, systems arrangements, and actual deployment of customer information provision in **34 Elements** covering all of the essential activities and arrangements that are used to deliver, manage, review, and improve customer information provision across GB Mainline Rail. In turn the 34 elements are grouped into **7 Components**. GB Mainline Rail organisations use the CIM to evaluate their level of maturity in each aspect of customer information provision and identify areas for refinement, improvement, and investment.

The **7 Components** and the composite **34 Elements** are summarised in the table below.

| CIM Components & Elements |   |           |           |   |           |
|---------------------------|---|-----------|-----------|---|-----------|
|                           |   | Page      |           |   | Page      |
| <b>1.</b>                 | <b>LEADERSHIP, POLICY &amp; GOVERNANCE</b>  | <b>6</b>  | <b>4.</b> | <b>IT SYSTEMS &amp; FUNCTIONALITY</b>                   | <b>57</b> |
| 1.1                       | Leadership  |           | 4.1       | Relevant Operational Systems                            |           |
| 1.2                       | Policy & Strategy   |           | 4.2       | Internal & Customer Facing Information Systems          |           |
| 1.3                       | Governance  |           | 4.3       | 3 <sup>rd</sup> Party Data Access arrangements          |           |
| <b>2.</b>                 | <b>CO-OPERATION &amp; CAPABILITIES</b>  | <b>13</b> | <b>5.</b> | <b>PEOPLE MANAGEMENT, DEVELOPMENT &amp; INVOLVEMENT</b> | <b>66</b> |
| 2.1                       | Partnerships  |           | 5.1       | Job Specifications (Attitude & Skills)                  |           |
| 2.2                       | Organisation & Resources  |           | 5.2       | Recruitment & Training                                  |           |
| 2.3                       | Roles & Responsibilities  |           | 5.3       | Accreditation & Competence Assessment                   |           |
| <b>3.</b>                 | <b>DELIVERY ARRANGEMENTS</b>  | <b>21</b> | <b>6.</b> | <b>CUSTOMER FOCUSED RESULTS</b>                         | <b>73</b> |
| 3.1                       | Customer Communication Needs & Segmentation   |           | 6.1       | Internal Key Performance Indicators                     |           |
| 3.2                       | Information Provision – Requirements, Processes & Plans                                   |           | 6.2       | People Results  |           |
| 3.3                       | Applicable Operational Processes & Plans  |           | 6.3       | Customer Results  |           |
| 3.4                       | Operational Decision Criteria During Disruption   |           | 6.4       | Societal Results  |           |
| 3.5                       | Instructions & Customer Guidance During Disruption (including Types of Disruptive Events) |           | <b>7.</b> | <b>MONITORING, REVIEW &amp; REFINEMENT</b>              | <b>82</b> |
| 3.6                       | CSL2 Arrangements   |           | 7.1       | Real-time Feedback & KPIs                               |           |
| 3.7                       | Formulation of Messages - One Version of the Truth  |           | 7.2       | Internal and External Quality Assessments               |           |
| 3.8                       | Customer Information Channels/Interfaces  |           | 7.3       | Independent Quality Assessments                         |           |
| 3.9                       | Amended Timetables - Pre-Planned & Short Notice Temporary Changes                         |           | 7.4       | Structured Incident Reviews (Incident/information)      |           |
| 3.10                      | Major Timetable Change  |           | 7.5       | Independent Research Reports                            |           |
| 3.11                      | Access to Alternative Routes  |           | 7.6       | CIM Assessments   |           |
| 3.12                      | Clarity of Communications   |           |           |   |           |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

The **7 Components** are interlinked as shown in the CIM management model below.



It should be noted that within Components 1-6 there are certain aspects of information provision that involve review and adjustment for learning and improvement. These are review activities within and part of the CIP system. Component 7 however draws all the data and qualitative review information together to inform refinements of the CIP system itself as part of continuous improvement.

**The over-riding industry objective is to develop and deploy an integrated set of arrangements that can consistently deliver excellent customer focused information to all customers at all times and under all circumstances. Industry managers at all levels must know that this objective is being achieved every minute of every day. The CIM has been developed to define and support the achievement of this objective.**



This attachment to the CIM User Guide describes the general scope of each of the **7 Components**, provides detailed descriptions of what each **Element** should address then describes the attributes of every criterion for each of five potential levels of attainment. These range from Level 5 'Excellent' down to Level 1 'Ad-hoc'.

| ACHIEVEMENT LEVEL | DEFINITION   |
|-------------------|--------------|
| 5                 | Excellent    |
| 4                 | Predictable  |
| 3                 | Standardised |
| 2                 | Managed      |
| 1                 | Ad-hoc       |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

It is expected that each Rail Delivery Organisation covered by the CIM will be required to develop and maintain a CIP Delivery Plan that fully addresses all the issues described in this CIM User Instruction & Guidance document. Ideally each Delivery Plan will be structured around the 7 Components and 34 Elements as this will help align activities with the CIM. It will also facilitate measurement and benchmarking.

Whilst this CIM is primarily designed for use by Railway Delivery Organisations it can also be used by others to undertake sampling, verification checks and supporting reviews.

### Important Note:

**Publication of the Williams review is awaited but the recommendations are difficult to anticipate. We have therefore based these arrangements on the current organisations although we have used the term Rail Delivery Organisation (RDO) as defined in the table below.**

### ABBREVIATIONS AND ACRONYMS

Throughout this document the following terms and abbreviations have been used:-

| Term                                      | Meaning  |
|---|--|
| Advice                                    | Guidance and suggestions proactively provided to passengers that helps them decide how to proceed with their journey   |
| Applicable Operational Requirements       | Operational standards, processes, standing orders, protocols and contingency plans that are applicable to management of the referenced situation or event  |
| ACOP or ACoP                              | Approved Code of Practise  |
| Briefing                                  | An informal, conversational means of imparting knowledge   |
| CATS or CATS Teams                        | Customer Action Teams – Teams of rail staff volunteers that provide customer assistance during serious disruption at stations and on train.  |
| CIM                                       | Customer Information Measure   |
| CIP                                       | Customer Information Provision   |
| CIP Delivery Plan                         | A formal, documented plan prepared by an RDO (or a joint plan produced by Partnering RDOs) which sets out how they manage all aspects of customer information provision  |
| COP                                       | Code of Practise   |
| Competence Assessment System/Arrangements | A documented and structured process of examining the correct achievement of desired job role and task outcomes, the skills and knowledge required to attain them   |
| Contingency Plan                          | A documented set of arrangements for the operation of train services and associated facilities when the normal arrangements are compromised e.g. track access restrictions, poor stock and/or crew resource availability, station closure etc. |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|                                 |  |
|---------------------------------|--|
| CSL2                            | This term describes the enhanced mobilisation that enables delivery of enhanced information and associated railway undertaking-specific customer service requirements during major delays/disruption (CSL2 ACoP Definition)  |
| Customer                        | Someone who is intent on doing a personal transaction with an RDO or a retail outlet on RDO premises but who is not yet a Passenger  |
| Customers/Passengers            | This term relates to: <ul style="list-style-type: none"> <li>• customers undertaking a journey, i.e. on a train/station and including transfers to LUL</li> <li>• intending passengers – at stations that are yet to commence their journey, and</li> <li>• people waiting at stations/other locations for passengers (CSL2 ACoP Definition )</li> </ul> |
| Decision Point(s)               | An identified location where a decision is made that determines how an event or situation is to be managed   |
| 'Do Not Travel' notification    | A message issued by a TOC to tell people that they should not attempt to travel at all and find an alternative   |
| EFQM                            | A recognised quality management process. The European Foundation for Quality Management  |
| Formal or Formalised            | A process which has structured, documented requirements and documented evidence of having been correctly undertaken  |
| GB Mainline Rail                | The primary area of focus and application of this CIM. Currently defined as: Network Rail, Train Operating Companies (TOCs), Open Access Operators, Station Operators, and the Rail Delivery Group (RDG)   |
| Get People Home                 | A contingency arrangement which focuses on getting people to their chosen destination before the end of the day's service and by whatever reasonable route available   |
| Industry Good Practice          | Ideally this should be a GB Mainline Rail industry good practice guide, Code of Practise or equivalent published by RSSB or RDG which contains up to date advice and guidance on the relevant issue. In the absence of such a guide the RDO may seek to develop its own Good Practice Guide  |
| Informal                        | Activities which do not meet the definition of Formal  |
| Information                     | Data, facts, and other news (often relating to an unplanned event) that leaves the passenger to decide how to interpret it and make any journey alterations  |
| Information update frequencies  | Specified frequencies for providing other RDOs and Passengers with information and advice relating to delays and cancellations   |
| Jargon                          | Specialised terminology, acronyms and phrases associated with railway activities that non-railway people will not understand   |
| MM                              | Maturity Model   |
| Passenger                       | A customer who holds a valid ticket for a journey by train   |
| PIDD                            | An acronym for Passenger Information During Disruption   |
| Professional Project Management | Undertaken by people holding recognised Project Management Qualifications  |
| Railway Entities                | Other essential GB Mainline Rail companies (other than RDOs) e.g. NRES   |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|  |   |
|--|---|
| RDG  | Rail Delivery Group. The senior industry body that provides leadership for GB Mainline Rail   |
| RDG Board                                    | The senior RDG management forum responsible for GB Mainline Rail industry strategy  |
| RDO  | Railway Delivery Organisation means and includes TOCs, Network Rail Routes and Regions, Station Operators (including NR Managed Stations) and Open Access Operators   |
| Segmentation                                 | A process by which an RDO breaks out and understands the characteristics of their customers by factors to include type of journey, demographics, familiarity with rail travel, health conditions or vulnerabilities, and other attributed factors. Then tailors the provision of information to each segment's particular needs |
| Smartphone                                   | Means and includes an internet enabled personal device (e.g. Phone or Tablet) by which people can access real-time data information and undertake transactions  |
| Third Parties                                | Organisations which are not RDOs, but which provide information ticketing and other services to passengers and customers; they often use data provided by RDOs or GB Mainline rail systems such as Darwin   |
| Training                                     | A documented and recorded process of imparting knowledge and skill with assessment of attainment  |
| Transmission/information exchange timescales | The elapsed time taken to pass information from one location to another   |
| TSD  | Train Service Delivery. A term used to describe the provision of train services   |
| 'Whole System' approach                      | A whole system approach involves applying systems thinking, methods and practice to better understand how information is delivered to meet customer expectations and to identify the challenges and actions required to do so.  |

## **Component 1: Leadership, Policy and Governance**

**The importance of Leadership is pervasive throughout this Customer Information Measure, particularly in setting policy, developing strategies, exercising governance, and leading by example.**

## **Element 1.1 - Leadership**

### **Element Scope - Leadership**

**Good leadership in Customer Information Provision requires Railway Organisation Leaders to:**

- **Establish Executive and senior accountability for the implementation, management, and continuous improvement of Customer Information Provision arrangements**
- **Provide the funding necessary for Customer Information Provision and support their railway organisation's delivery arrangements**
- **Maintain collaborative constancy of purpose throughout each organisation involved in Customer Information Provision to ensure everyone involved is clearly focused on ensuring the delivery of excellent levels of information to all customers under all circumstances**
- **Ensure that the collective Customer Information Provision arrangements are treated as a seamless set of integrated arrangements regardless of which organisations are involved**
- **Personally communicate the industry Customer Information Provision policies and strategies to those involved in delivery and provide visible inspiration and the necessary support**
- **Interact with Customers, partners, and independent transport organisation to understand expectations and respond to needs**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 1.1 - LEADERSHIP |   | ATTAINMENT LEVEL  |  |  |   |
|--------------------------|---|---|--|--|---|
|                          | 1. AD HOC   | 2. MANAGED  | 3. STANDARDISED  | 4. PREDICTABLE   | 5. EXCELLENT  |
| a)                       | RDG Board members get involved in CIP issues on an ad hoc basis.  | RDG Board members are regularly involved in CIP issues due to inclusion of CIP/PIDD as a standing RDG agenda item.  | RDG Board members are regularly involved in CIP issues due to inclusion of CIP/PIDD as a standing RDG agenda. They also have a general responsibility for funding CIP/PIDD.  | RDG Board members have documented executive accountability for the funding development and deployment of collaborative CIP policies and strategies.  | RDG Board members have documented executive accountability for the funding, development and deployment of collaborative, whole system CIP policies and strategies; and the measured outcomes in their areas of responsibility.  |
| b)                       | NR Route & Area Directors and TOC Directors are involved in CIP provision on an ad hoc basis.   | NR Route & Area Directors and TOC Directors are involved with CIP provision whenever adverse results or issues are published.   | NR Route & Area Directors and TOC Directors are allocated general responsibility for ensuring appropriate CIP are deployed and are accountable whenever adverse results or issues are published.   | NR Route & Area Directors and TOC Directors are allocated responsibility for CIP and are accountable for the headline results within their area(s) of responsibility.  | NR Route & Area Directors and TOC Directors are allocated responsibility for delivering excellent CIP and held accountable for the measured outcomes within their area(s) of responsibility.  |
| c)                       | A senior manager who is not a Director is responsible for CIP.  | The RDO has a CIP champion who reports directly to a director.  | The RDO has a Director who has documented responsibility for Customer Information.   | The RDO has a Director who has documented responsibility for Customer Information, and a trained CIP champion as a direct report to that Director.   | The RDO has a Director of Customer Information, and a trained CIP champion who has a nominated deputy.  |
| d)                       | NR Route & Area Directors, TOC Directors and some members of their executive teams demonstrate verifiable personal leadership during major disruptive events. | NR Route & Area Directors, TOC Directors and some members of their executive teams demonstrate occasional (at least quarterly) a verifiable personal leadership and commitment to CIP excellence by travelling the network. | NR Route & Area Directors, TOC Directors and all their executive teams demonstrate regular (at least monthly) verifiable personal leadership and commitment to CIP excellence when travelling the network.                                       | NR Route & Area Directors, TOC Directors and all their executive teams demonstrate verifiable personal leadership and commitment to CIP excellence by travelling the network, championing improvements and challenging poor behaviours in real time.               | NR Route & Area Directors, TOC Directors and all their executive teams demonstrate verifiable personal leadership and commitment to CIP excellence by travelling the network (particularly during disruption), championing improvements and challenging poor behaviours in real time. |
| e)                       | Railway Delivery Organisation Directors engage with other RDOs and Railway Entities on an ad hoc basis.   | Railway Delivery Organisation Directors engage with other RDOs and Railway Entities after any significant failure of the shared arrangements.   | Railway Delivery Organisation Directors engage occasionally with other RDOs and Railway Entities to ensure that shared arrangements are aligned.   | Railway Delivery Organisation Directors occasionally engage (at least quarterly) with other RDOs and Railway Entities to ensure that the benefits of a whole system approach are maximised.  | Railway Delivery Organisation Directors routinely engage (at least monthly) with other RDOs and Railway Entities to ensure that the benefits of a whole system approach are optimised.  |
| f)                       | An RDO Director engages with passenger/ consumer organisations such as Transport Focus on an infrequent ad hoc basis.   | The Leaders of Railway Delivery Organisations engage (at least annually) with passenger/ consumer organisations such as Transport Focus on an infrequent ad hoc basis.  | The Leaders of Railway Delivery Organisations engage (at least annually) with passenger/ consumer organisations such as Transport Focus in order to obtain a challenging independent perspective of the issues that are important to passengers. | The Leaders of Railway Delivery Organisations regularly engage (at least every six months) with passenger/ consumer organisations such as Transport Focus in order to obtain a challenging independent perspective of the issues that are important to passengers. | The Leaders of Railway Delivery Organisations regularly engage (at least quarterly) with passenger/ consumer organisations such as Transport Focus in order to obtain a challenging independent perspective of the issues that are important to passengers.                           |



## **Element 1.2 - Policy & Strategy**

### **Element Scope: Policy and Strategy**

**Effective Policies and Strategies that enable the delivery of excellent Customer Information Provision require:**

- **RDG Board Members to work with the Department of Transport and other specifiers to agree and maintain an industry Strategic Imperative**
- **RDG members to arrange the development, maintenance and deployment of comprehensive and integrated customer focused policies that provide clear direction regarding the delivery of excellent customer information under all circumstances**
- **RDG to actively develop, maintain and deploy comprehensive and integrated customer focused strategies that enable delivery of the industry policies**
- **The identification and provision of the funding and resources needed to maintain and deliver the policies and strategies**
- **Policies and strategies to be reviewed annually by a nominated senior industry group which has GB Mainline Rail oversight for Customer Information Provision.**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 1.2 - POLICY & STRATEGY |   | ATTAINMENT LEVEL   |  |   |  |  |
|---------------------------------|---|--|--|---|--|--|
|                                 | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT   |  |
| a)                              | There is no Industry Strategic imperative.  | A notional industry Strategic imperative has been drafted but is not yet signed off by all RDOs.                     | The RDG Board has determined its own notional industry Strategic imperative (without involving all the Stakeholders).                        | The RDG Board has determined its own notional industry Strategic imperative (involving all the Stakeholders).                             | The RDG Board has worked closely with the Department of Transport and The Office of Road & Rail and Transport Focus in order to agree an appropriate industry Strategic Imperative.  |  |
| b)                              | RDG is drafting a set of policies but these have not yet been agreed.                       | Integrated policies have been developed by RDG that cover less than 50% of CIM elements but these are not mandatory. | Integrated policies have been developed by RDG that cover more than 50% of CIM elements but these are not mandatory.                         | Integrated policies have been developed by RDG that cover more than 50% of CIM elements and are mandatory.                                | RDG (in conjunction with the RDG Board) has led the development and maintenance of comprehensive, integrated and customer focused GB Mainline Rail customer information policies that set out a clear direction for all relevant GB Mainline Rail companies to follow. These cover every CIM element including processes, systems, people, measurement of outcomes and action identified issues. |  |
| c)                              | RDG is drafting an annual strategy but this has not yet been agreed.                        | RDG produces an annual strategy that covers less than 25% of the CIM elements in the policies.                       | RDG produces an annual strategy that covers less than 50% of the CIM elements in the policies.   | RDG produces an annual strategy that covers more than 50% of the CIM elements in the policies.  | RDG produces, maintains and updates at least annually a 5-year rolling industry CIP strategy that includes integrated high-level plans to deliver the policies. These cover every CIM element including processes, systems, people, measurement of outcomes and action identified issues.  |  |
| d)                              | Funding is agreed on an item-by-item basis.<br>There is no agreed budget.                   | A notional budget has been agreed but contributions are not committed by all RDOs.                                   | A notional budget has been agreed and contributions are committed by all RDOs.   | Current year funding requirements have been fully identified and committed.   | Short and longer-term funding requirements are fully identified and committed.   |  |
| e)                              | Ad hoc Implementation Progress is not routinely monitored and there are no regular updates. | Planned Implementation of unintegrated schemes is routinely monitored and there are updates at least each quarter.   | Rail Delivery Organisations plan to implement the agreed policies & strategies and more than 75% are delivered within the agreed timescales. | Rail Delivery Organisations undertake to implement the agreed policies and strategies but updates on progress are not regularly reported. | Railway Delivery Organisations implement the policies and strategies in accordance with agreed pan-industry plans and provide regular updates on progress and outcomes to RDG.   |  |

## **Element 1.3 - Governance**

### **Element Scope - Governance**

**Good Governance relating to Customer Information Provision requires RDG Board Leaders to:**

- **Establish an industry framework of oversight and control in order to ensure that Customer Information Provision is treated as a ‘whole system’ issue**
- **Ensure the industry resources that deliver information to customers remain adequately funded and appropriately deployed**
- **Challenge Management teams to deliver continuous improvements in the standards of delivered customer information**
- **Commission annual independent reviews of the results from the Customer Information Measure assessments in order to maintain consistency in the application of the arrangements**
- **Actively promote innovation and learning (including Benchmarking) in the delivery of Customer Information Provision in order to maintain the drive for excellence**
- **Establish appropriate levels of authority and control at identified levels of the industry to assure delivery of excellent customer information to all customers**
- **Monitor results and feedback from all sources so that corrective actions can be taken to address any shortfalls or changes in expectations**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 1.3 - GOVERNANCE |   | ATTAINMENT LEVEL   |   |  |  |
|--------------------------|---|--|---|--|--|
|                          | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE   | 5. EXCELLENT   |
| a)                       | The RDG Board delegates oversight of progress to a senior RDG Manager and reviews progress every 6 months. RDG Board is accountable for ensuring the industry CIP policies are appropriate. | The RDG Board provides oversight of progress through routine 6 monthly reviews of Customer Information Delivery and holds accountability for ensuring the policies that will deliver excellence are challenging but realistic. | The RDG Board provides oversight of progress through routine 6 monthly reviews of Customer Information Delivery and holds accountability for ensuring the policies that will deliver excellence are challenging but realistic and mainly funded.          | The RDG Board provides oversight of progress through routine quarterly reviews of Customer Information Delivery and holds accountability for ensuring the policies that will deliver excellence are challenging but realistic, based on solid evidence and fully funded. | The RDG Board provides oversight of progress through routine monthly reviews of Customer Information Delivery and holds accountability for ensuring the policies that will deliver excellence are challenging but realistic, based on solid evidence and fully funded. |
| b)                       | RDG Board challenges the management teams of RDOs to use reasonable endeavours to implement arrangements to address as many CIM elements as possible.                                       | RDG Board challenges the management teams of RDOs to implement arrangements that address a prioritised 80% of the CIM elements that underpin Customer Information Provision.   | RDG Board challenges the management teams of RDOs to implement arrangements that address a specified 90% of the CIM elements that underpin Customer Information Provision.  | RDG Board challenges the management teams of RDOs to implement arrangements that address all the CIM elements that underpin Customer Information Provision.  | RDG Board challenges the management teams of RDOs to implement and continuously improve the effectiveness of all the elements that underpin Customer Information excellence.   |
| c)                       | RDG Board instructs RDOs to cross review other RDOs at irregular intervals greater than 12 months.  | RDG Board instructs RDOs to cross review other RDOs annually using a common structured assessment protocol.  | In addition to Level 2 requirements RDG (on behalf of the RDG Board) commissions occasional independent reviews of the Customer Information Measure results in order to assure the effectiveness of the arrangements and identify internal Good Practise. | On behalf of RDG Board the RDG commissions bi-annual regular independent reviews of the Customer Information Measure results in order to assure the effectiveness of the arrangements and identify internal Good Practise.   | On behalf of RDG Board the RDG commissions annual independent reviews of the Customer Information Measure results in order to assure the effectiveness of the arrangements and identify internal & external Good Practise.   |
| d)                       | There are no documented procedures in place for escalating concerns regarding Customer Information Provision arrangements to a nominated manager.   | There are defined internal industry procedures in place for escalating concerns to a Nominated Manager regarding Customer Information Provision arrangements.  | There are clearly defined internal industry processes in place for escalating concerns to the relevant RDO Managing Director or equivalent position regarding Customer Information Provision arrangements.  | There are clearly defined internal industry processes in place for escalating concerns to RDG regarding Customer Information Provision arrangements.   | There are clearly defined internal industry processes in place for escalating concerns to RDG Board regarding Customer Information Provision arrangements.   |
| e)                       | There are no structured arrangements for actively seeking and assessing new technology and innovation.  | Leaders in each RDO are encouraged to actively seek and assess new technology and innovation.  | Nominated individuals in each RDO are tasked with actively seeking and assessing new technology and innovation.   | Nominated industry leaders in each RDO are tasked with actively seeking and assessing new technology and innovation.   | Industry leaders at all levels actively seek and assess new technology and innovation.   |
| f)                       | The performance of GB Mainline Rail in delivering excellent customer information is not measured and reported in a standardised way at regular intervals.                                   | The performance of GB Mainline Rail in delivering excellent customer information is measured in a standardised way by RDOs across 75% of elements but undertaken at infrequent intervals.                                      | The performance of GB Mainline Rail in delivering excellent customer information is measured by RDOs across all elements in a standardised way but at infrequent intervals.   | Leaders within RDG encourage RDO teams to ensure that the performance of GB Mainline Rail in delivering excellent customer information is measured effectively and regularly reported.   | Industry Leaders at RDG Board and within RDG ensure that the performance of GB Mainline Rail in delivering excellent customer information is measured effectively and regularly reported by all RDOs' teams.   |

## **Component 2: Co-operation & Capabilities**

**Many key aspects of the operation of railway services for customers depend on close co-operation between people from different companies. This is particularly marked in Customer Information Provision where partnerships between different organisations and disciplines such as operations and customer service are vital. Passengers are disinterested in organisational structures and divisions. In order to adopt a ‘Whole System’ approach to information delivery it is important to ensure that the collective resources provided by the organisations involved are fully integrated in terms of roles and responsibilities. This component covers Partnerships, Organisation & Resources, and Roles & Responsibilities.**

## **Element 2.1 - Partnerships**

### **Element Scope - Partnerships**

**Partnerships that are effective in providing Customer Focused Information will:**

- **Develop shared goals and priorities to maintain the maximum collective focus on all aspects of customer information delivery**
- **Structure their relationships with each other and with external suppliers to create effective and efficient capabilities and embed a unified, integrated approach to every aspect of customer information provision**
- **Develop unified strategies for developing and using technology to support the shared customer information strategies**
- **Define the required collective information arrangements and systems**
- **Develop organisational and cultural compatibility in order to maximise the effectiveness of the deployed arrangements**
- **Generate and support innovative, creative thinking and problem solving through close engagement with other RDOs and 3<sup>rd</sup> party providers**
- **Use structured learning and the adoption of information and communication technologies to support and improve the effective provision of customer information**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 2.1 - PARTNERSHIPS |   | ATTAINMENT LEVEL  |  |  |  |
|----------------------------|---|---|--|--|--|
|                            | 1. AD HOC   | 2. MANAGED  | 3. STANDARDISED  | 4. PREDICTABLE   | 5. EXCELLENT   |
| a)                         | CIP does not feature as a prominent industry KPI.   | CIP is included in the period reports of TOC and partner NR RDOs. It does not feature as a prominent industry KPI.  | CIP receives a high level of attention within TOC and Partner RDOs and in the respective weekly and period performance reports. The industry period results include CIP issues.  | CIP receives a higher level of attention within RDOs and is included in RDO's periodic performance reports alongside punctuality & reliability.  | RDG Board ensures that CIP receives the same priority and level of attention in all RDOs as punctuality and reliability. This includes featuring prominently in daily, weekly and period reports at all levels.  |
| b)                         | Collaborative partnering and working on CIP delivery issues is infrequent and ad hoc.   | Collaborative partnering and working on CIP delivery issues is common and follows a structured program focused on optimising joint working arrangements.  | Railway Delivery Organisations work together with each other locally but there is limited network wide cooperation. Engagement with Railway Entities is rare.  | RDOs work together as part of a national program to improve identified impediments to good CIP delivery. Oversight is provided by an industry project manager.   | Railway Delivery Organisations work together with each other and with Railway Entities to ensure that 'whole system' arrangements are encouraged, developed and deployed. Oversight is provided by a joint industry project team.  |
| c)                         | Potential Improvements and optimisation opportunities are randomly identified but the lack of funding results in little being done. | Adoption of good practise is random and generally RDO specific. Innovative technologies are only adopted across the industry if they can be bolted on to the existing arrangements at low cost. | Railway Delivery Organisations identify good practise in a structured way and there is evidence of a few innovative solutions (processes, technologies, and IT systems) being developed and adopted across the industry. | Railway Delivery Organisations share best practise and proven solutions to common industry-wide problems. These include occasional limited adoption of proven processes, technologies, and IT systems.             | Railway Delivery Organisations adopt common industry-wide approaches wherever possible and support each other in the optimisation and continuous improvement of the industry processes and arrangements. This approach includes the joint development of innovative processes, technologies, and IT systems. |
| d)                         | The adoption of unified arrangements has been discussed but not progressed. The reasons for this are not clear.                     | The adoption of unified arrangements is planned but not progressed due to industry restructuring distractions and a lack of senior and/or local enthusiasm.                                     | The adoption of unified arrangements at shared locations is planned or underway but deployment is very slow, e.g. 'One Station' concept at NR Managed stations.  | Unified arrangements (including common organisations) at shared locations are planned but deployment is slow, e.g. 'One Station' concept at NR Managed stations.   | Efficient, unified arrangements (including organisational solutions) are introduced wherever practicable at shared locations, e.g. 'One Station' concept at NR Managed stations and multi-TOC stations.  |
| e)                         | Approved internal and external users are given limited token access to CIP systems.   | Approved internal and external users are given specific defined access to CIP systems on a project-by-project basis.  | RDG and the RDOs give approved internal and external users limited access to relevant CIP information systems.   | RDG and the RDOs give approved internal and external users limited access to relevant CIP information, knowledge, and systems.   | RDG and the RDOs give approved internal and external users full access to all relevant CIP information, knowledge, and systems.  |
| f)                         | There are no codified arrangements for identifying and sharing CIP learning across the industry.                                    | Randomly identified learning is shared via user groups but arrangements for adopting unifying good practise are absent or ineffective.  | Occasional learning is identified via structured arrangements and shared so that individual RDOs can decide if adoption is appropriate. Examples of national adoption are very rare.                                     | Learning is regularly identified and shared via structured arrangements so that the whole industry can collectively drive continuous improvement and innovation. Examples of national adoption exceed 4 per annum. | Structured learning is freely shared, evaluated and rolled out when appropriate so the whole industry can collectively drive continuous improvement and innovation. Examples of national adoption exceed 10 per annum.   |

## **Element 2.2 - Organisation & Resources**

### **Element Scope - Organisation & Resources**

**RDOs that have effective, efficient, and agile Organisations & Resources will:**

- **Structure integrated, aligned and efficient organisations that can deliver excellent information to customers under all foreseeable operational conditions**
- **Have clear, integrated accountabilities and responsibilities for meeting or exceeding emerging customer needs**
- **Identify and deploy sufficient competent staff to deliver excellent customer information under all circumstances at all locations**
- **Consider the seasonally driven conditions that will create peaks in disruptive events and ensure that the collective industry resources have the capability to react quickly and positively to unpredictable events in a unified way**
- **Provide a dedicated director and/or Customer Information Champion at delivery unit level**
- **Ensure that feedback is routinely gathered and positively used to ensure the organisational structures and resources are always capable of responding to emerging customer information requirements and expectations**



## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 2.2 - ORGANISATION & RESOURCES |   | ATTAINMENT LEVEL   |   |   |   |
|--|---|--|---|---|---|
|  | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)                                     | The organisational arrangements of partnering RDOs that are collectively responsible for CIP have no planned areas of CIP alignment or integration. | The organisational arrangements of partnering RDOs that are collectively responsible for CIP are aligned and integrated via co-location and shared industry-wide arrangements/procedures such as CSL2. | The organisational arrangements of partnering RDOs that are collectively responsible for CIP are aligned and integrated in some key areas. The deployed CIP arrangements do not enable the organisation(s) to confidently meet customer requirements under most circumstances.  | The organisational arrangements of partnering RDOs that are collectively responsible for CIP are aligned and integrated in many key areas. Using the codified CIP arrangements the organisation(s) have the broad capability to meet major identified customer requirements under most circumstances.   | The organisational arrangements of partnering RDOs that are collectively responsible for CIP are aligned, integrated and efficient. Using the codified CIP arrangements the organisation has the clear capability to meet all identified customer requirements under all circumstances.   |
| b)                                     | The RDO relies on a small number of key staff to issue customer information and cover by inexperienced staff is occasionally necessary.             | The RDO relies on a small number of key staff to issue customer information. Cover is tight and robust unless major disruption occurs. All staff are trained and experienced.                          | The RDOs CIP organisation provides sufficient information and support staff to meet specified customer information requirements during normal and most disrupted scenarios (e.g. In control offices and information centres). All staff are trained and experienced. Key CIP posts are flagged as 'mission critical'. | The RDOs collective CIP organisations provide sufficient information professionals and support staff to meet all customer information requirements during normal and most disrupted scenarios (e.g. In control offices, information centres and at stations). All staff are trained and experienced. Key CIP posts are flagged as 'mission critical'. | The RDOs integrated CIP organisations provide sufficient information professionals and support staff to meet all customer information requirements during both normal and all disrupted operation (e.g. In control offices, information centres, on-train and at stations). All staff are trained and experienced. Key CIP posts are flagged as 'mission critical'. |
| c)                                     | The RDO uses reasonable endeavours to mobilise extra ad hoc volunteer resources during disruption but the achieved outcomes are variable.           | The RDO has a call-off roster of volunteer staff that can be reliably mobilised during specified time periods. The achieved outcomes are generally good but not entirely dependable.                   | Additional CIP resources at key levels have been identified that can be mobilised (during certain times of the day/week) within specified timescales during serious network disruption (e.g. during major adverse weather events or extended CSL2 deployment).  | Additional CIP resources at key levels have been identified that can be reliably mobilised within specified timescales during serious network disruption (e.g. during major adverse weather events or extended CSL2 deployment).  | Additional CIP resources at all levels have been identified that can be quickly and reliably mobilised 24/7 during serious network disruption (e.g. during major adverse weather events or extended CSL2 deployment).   |
| d)                                     | The RDO has a Director with CIP as one of their responsibilities. There is no permanent PIDD champion.  | The RDO has a Director with CIP as one of their responsibilities. There is also a permanent PIDD champion (but no deputy).   | The RDO has a Director with CIP as one of their responsibilities. There is also a permanent PIDD champion who is professionally trained and qualified (but no deputy).  | The RDO has a dedicated CIP Director with professional qualifications in communications and information management. A nominated CIP deputy is provided.   | The RDO has a dedicated CIP Director with professional qualifications in communications and information management. A full time PIDD Champion with professional qualifications deputises.   |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |   |  |   |   |  |
|----|---|--|---|---|--|
| e) | CIP resourcing is not reviewed in any structured way. Most changes are a response to adverse publicity. | CIP resourcing is not reviewed in any structured way. Most changes are a response to adverse publicity. Resources are usually reviewed when a major timetable change is planned. | The RDO reviews CIP resourcing within structured reviews. These are undertaken in parallel to operational incident reviews. Resources are always reviewed when a major timetable change is planned. | RDOs collectively review the primary aspects of customer information resourcing as an integral part of unified incident reviews. All resources are jointly reviewed before all major timetable changes. | RDOs collectively review all aspects of customer information resourcing as an integral part of unified incident reviews and undertake a joint major review before each timetable change, with the scope of each review scaled to the size of the change. |
|----|---|--|---|---|--|

## Element 2.3 - Roles & Responsibilities

### Element Scope - Roles & Responsibilities

Customer Focused Roles & Responsibilities within RDOs will require:

- Arrangements that help ensure that the impact of all activities on the customer is front of mind at all times and reinforce that passenger focused information provision is a core deliverable for all GB Mainline Rail companies rather than an optional add-on
- Clear written Roles and Responsibility statements for all core staff and those with occasional/infrequent information provision responsibilities that are integrated and aligned with all delivery partners
- Clear, effective links between Job Descriptions and training, development, and competence arrangements
- Integration with pan-industry process and systems maps in order to optimise effectiveness and support delivery of 'One Version of the Truth'
- Regular feedback to be routinely and positively used to solve impediments to delivering excellence and drive continuous improvement

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 2.3 - ROLES & RESPONSIBILITIES |  | ATTAINMENT LEVEL   |  |  |  |
|--|--|--|--|--|--|
|  | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE   | 5. EXCELLENT   |
| a)                                     | Roles and Responsibilities for CIP are written into the Job Descriptions and/or Objectives of less than 50% of those with core responsibilities. | Roles and Responsibilities for CIP are explicitly written into the Job Descriptions and/or Objectives of all those with core responsibilities. None of the JDs are aligned and integrated between collaborating RDO. | Roles and Responsibilities for CIP are explicitly written into the Job Descriptions and/or Objectives of all those with core or occasional/infrequent responsibilities. Less than 25% of the JDs are aligned and integrated between collaborating RDO. | Roles and Responsibilities for CIP are explicitly written into the Job Descriptions and/or Objectives of all those with core or occasional/infrequent responsibilities. Less than 50% of the JDs are aligned and integrated between collaborating RDO. | Roles and Responsibilities for CIP are explicitly written into the Job Descriptions and/or Objectives of all those with core or occasional/infrequent responsibilities. All the JDs are aligned and integrated between collaborating RDOs. |
| b)                                     | Roles and Responsibilities for CIP are not linked to training, development, and competence arrangements.   | At least 50% of Roles and Responsibilities for CIP are linked to training, development, and competence arrangements.   | All Roles and Responsibilities for CIP are linked to training, development, and competence arrangements.   | All Roles and Responsibilities for CIP are linked to training, development, and competence arrangements. Those for key posts are aligned between collaborating RDOs.   | All Roles and Responsibilities for CIP are linked to training, development, and competence arrangements. These are all aligned between collaborating RDOs.   |
| c)                                     | Post specific CIP responsibilities are not mapped against any information process map.<br>Note: See also Component 4.1.                          | Key post specific CIP responsibilities are mapped against a locally produced information process map.<br>Note: See also Component 4.1.   | Key post specific CIP responsibilities for the RDO and collaborating RDO are mapped against a locally produced information process map.<br>Note: See also Component 4.1.   | Key post specific CIP responsibilities are mapped against the industry 'Big Picture' information process maps.<br>Note: See also Component 4.1.  | All post specific CIP responsibilities are mapped against the industry 'Big Picture' information process maps.<br>Note: See also Component 4.1.  |
| d)                                     | The arrangements for obtaining structured feedback from Job Holders are ad hoc.  | A process for obtaining feedback is in place but the review arrangements are not defined.  | Feedback is occasionally obtained from job holders as part of routine management processes and CIP aspects are planned to be reviewed by the line manager.   | Feedback is regularly obtained from job holders as part of routine management processes and all CIP aspects are reviewed by a nominated manager.   | Feedback is regularly obtained from job holders as part of routine management processes and all CIP aspects are reviewed at least quarterly by a nominated subject group and issues actioned.  |

## **Component 3: Delivery Arrangements**

**Integrated, effective Delivery Arrangements are essential in order to consistently provide customers with timely, customer-focused information, however, they are by necessity extremely complex. This component has been condensed to eleven closely interconnected elements that are fundamental to the delivery of information to customers. It will therefore be necessary to consider, manage and assess each of these in conjunction with the others in this component, together with the three supporting elements described in the following component covering IT Systems & Functionality.**

**As outlined in the introduction it is a basic expectation that each Railway Delivery Organisation and Railway Entity that has a role in information delivery will have a CIP Delivery Plan that fully addresses all the issues described in this CIM User Instruction & Guidance document. The plan should also take full account of agreed pan-industry requirements and available ‘Good Practice’.**

## Element 3.1 - Customer Communication Needs & Segmentation

### Element Scope - Customer Communication Needs & Segmentation

The RDO's assessment of their customer's needs and therefore the content of their CIP Delivery Plan will:

- Be based on customer segmentation Good Practise which identifies the customer travel types on each route and considers how each segment has different needs (e.g. elderly passengers, regular commuters, business travellers, families etc.)
- Reinforces the requirement for jargon-free information delivered in the most appropriate way for all customers
- Recognise that different customer types will have different expectations and levels of understanding regarding train travel arrangements, the effects of disruption and actions that may be taken by the service provider
- Use available technologies to automate capture and dissemination of the above information wherever possible but ensure the needs of those who do not have a smartphone<sup>1</sup> (or similar devices) are also met
- Identify any appreciable flows of customers with physical or sensory impairments, health conditions or vulnerabilities
- Provide appropriate signage and announcements for non-English speakers where appropriate

---

<sup>1</sup> 15% of the GB Population do not have or use a smartphone (2019) <https://www.consultancy.uk/news/14113/uk-smartphone-penetration-continues-to-rise-to-85-of-adult-population>

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.1 - CUSTOMER COMMUNICATION NEEDS & SEGMENTATION |  | ATTAINMENT LEVEL  |  |   |   |
|---|--|---|--|---|---|
|   | 1. AD HOC  | 2. MANAGED  | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)  | No guidance information regarding different customer segments or different routes Arrangements do not consider customers who may have different levels of understanding regarding routine disruption arrangements or those without smartphones.                    | The RDO's CIP Delivery Plan: incorporates basic guidance information regarding peak and off-peak customer patronage. It is not split by route and the arrangements do not consider customers who may have different levels of understanding regarding routine disruption arrangements or those without smartphones. | The RDO's CIP Delivery Plan incorporates general guidance information (based on industry Good Practice) regarding 6 or more key generic customer types (RDO wide - not route specific) who may have different levels of understanding regarding routine disruption arrangements and differing levels of smartphone ownership.  | The RDO's applicable CIP Delivery Plan incorporates general guidance information (based on industry Good Practice) regarding 6 or more key generic customer types on each route who may have different levels of understanding regarding routine disruption arrangements and differing levels of smartphone ownership.  | The RDO's CIP Delivery Plan: incorporates customised guidance information (based on industry Good Practice) tailored to the specific customer segments and customer types on each route who may have different levels of understanding regarding routine disruption arrangements and differing levels of smartphone ownership.  |
| b)  | Written and verbal messages for customers are worded in an ad hoc way as time and resource permits and contain railway jargon .Website and App information is in English only and does NOT provide any assistive technology for customers with visual impairments. | Most written and most verbal messages for customers are jargon free and clearly worded but conformance with documented guidance based on Industry Good Practice is variable . Website and App information is in English only and provides basic assistive technology for customers with visual impairments.         | All written and most verbal messages for customers are jargon free and clearly worded in accordance with documented guidance based on Industry Good Practice. Website and App information is multilingual and provides assistive technology for customers with visual impairments.   | All written and all verbal messages for customers are jargon free and clearly worded in accordance with documented guidance based on Industry Good Practice. Website and App information is multilingual as appropriate to customer segments and provides some assistive technology for customers with visual impairments.  | All written and all verbal messages for customers are jargon free and clearly worded in accordance with documented guidance based on Industry Good Practice. Website and Apps have functions available to tailor information to individual customer journey and individual language needs and the information is multilingual as appropriate and provides comprehensive assistive technology customers with visual impairments. |
| c)  | Customer facing staff have no arranged multilingual or other special communication skills, resources, or capability.   | Some customer facing staff have multilingual or other special communication skills, such as sign language, but the arrangements are inconsistent informal, and the staff are not readily identifiable to passengers.  | The RDO has formal arrangements for Customer facing staff at key stations and on train who are multilingual or have other special communication skills, such as sign language, to be readily identifiable to customers (e.g. on name badges) and details are available to control room staff. Staff generally use their own personal devices and smartphone access to web-based language translation Apps. | The RDO has formal arrangements for Customer facing staff at key stations and on train who are multilingual or have other special communication skills, such as sign language, to be readily identifiable to customers (e.g. on name badges) and details are available to control room staff. Staff are provided with smartphone access to web-based language translation Apps. | The RDO has formal programmes in place to recruit and comprehensively deploy customer facing staff who are multilingual or have other special communication skills, such as sign language, they are readily identifiable by customers (e.g. on name badges) and details are available to control room staff. Staff are provided with smartphone access to web-based language translation Apps.                                  |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |  |  |   |   |  |
|----|--|--|---|---|--|
| d) | There are no information arrangements for customers who require visual/auditory assistance.  | Basic arrangements - such as staff help - are in place at some stations and trains for customers who require visual/auditory assistance.   | Standardised Information arrangements are uniformly deployed for customers who may have physical impairment or require visual/auditory assistance.  | Information arrangements are uniformly deployed for customers who may have physical impairment or require visual/auditory assistance, and these are tailored to a range of different recognised needs.  | Comprehensive information arrangements are uniformly deployed for customers that may have physical impairment or require visual/auditory assistance and the arrangements are tailored to a range of different recognised needs. These use different assistive technologies to enable widest possible access. |
| e) | The need for permanent multilingual signs and announcements has not been assessed in any structured way. No arrangements are in place. | The need for permanent multilingual signs and announcements has not been assessed in any structured way. Informal arrangements only exist for multilingual or event signage information. | The need for permanent multilingual signs, passenger information displays, and announcements has been assessed and these are either: <ul style="list-style-type: none"> <li>• Provided at stations for large pre-planned international events</li> </ul> or <ul style="list-style-type: none"> <li>• Not required.</li> </ul> | The need for permanent multilingual signs, passenger information displays, and announcements has been assessed. Where required these are provided at stations for large pre-planned international events. Multilingual signs are provided at stations and on trains with regular high non-English speaking customers. | The need for permanent multilingual signs, passenger information displays, and announcements has been assessed and these are provided at stations and on trains with regular significant proportions of non-English speaking customers or for large pre-planned international events.                        |



## Element 3.2 - Information Provision - Requirements, Processes & Plans

### Element Scope - Information Provision - Requirements, Processes & Plans

Establishing the appropriate industry Processes & Plans necessary to fulfil the Customer Information requirements will require RDOs to:

- Develop and maintain a comprehensive and current Customer Information Provision Plan that fully describes all the established integrated arrangements that are deployed
- Take full account of all identified customer types and journey phases
- Collectively map the pan-industry end to end information paths from origin to customer in conjunction with industry partners and supporting organisations
- Identify the decision and transaction points together with the end-to-end transmission times in order to assess the fitness for purpose of the deployed arrangements
- Ensure that information update frequencies take full account of customer needs/expectations, system capabilities and staff feedback

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.2 - INFORMATION PROVISION - REQUIREMENTS, PROCESSES & PLANS |  |  |   | ATTAINMENT LEVEL   |  |
|---|--|--|---|--|--|
|   | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE   | 5. EXCELLENT   |
| a)  | No formal published CIP plan exists in the RDO.  | A formal CIP delivery plan is in place within the RDO, but it does not cover all the CIM components and has not been updated for over 12 months.                             | A comprehensive formal CIP delivery plan is in place within the RDO. It covers all the CIM components and has been updated annually.  | A comprehensive formal CIP delivery plan is in place within the Railway Delivery Organisation and is updated annually. Progress with tracking the implementation of the plan contents is tracked and recorded.   | A comprehensive formal CIP delivery plan is in place as a controlled document within the Railway Delivery Organisation and is updated annually, whenever changes occur and in response to incident reviews. Progress with tracking the implementation of the plan contents is tracked and recorded.  |
| b)  | No mapping of information flows has been undertaken by the RDO.                                | Generic industry information flows from source to customer have been mapped.   | Under the direction of the RDG Board the RDO has mapped all the 'Big Picture' generic and specific industry information flows from source to customers. These have been reviewed annually.  | Under the direction of the RDG Board the RDO has mapped all the 'Big Picture' generic and specific industry information flows from source to customers. This includes details of all the transmission systems, decision/transaction points and information channel and mediums. These have been reviewed annually.                                 | Under the direction of the RDG Board the RDO and its partner RDO(s) have collaborated to map all the 'Big Picture' generic and specific industry information flows from source to customers that include details of all the transmission systems, decision/transaction points and information channel mediums. These have been reviewed annually. There is documented evidence in place showing how the mapping is used to design, deploy, and improve information provision arrangements. |
| c)  | No identification of decision/ transaction points has taken place.                             | The decision/transaction points have been informally and generically identified.   | The decision/transaction points and the associated CIP critical posts have been formally identified and documented in the CIP Delivery Plan.  | The decision/transaction points and the associated CIP critical posts have been formally identified and documented in the CIP Delivery Plan. These have been reviewed annually.  | The decision/ transaction points and the associated CIP critical posts have been formally identified and documented in the CIP Delivery Plan. The activities are also included in the relevant job descriptions. All aspects have been reviewed annually.  |
| d)  | No evidence of measurement and definition of information transmission and exchange timescales. | Informal measurement and definition of information transmission and exchange timescales has been undertaken.   | Information transmission and exchange timescales have been systematically measured and defined in order to assess what is achievable in terms of the scope and frequency of CIP.  | Information transmission and exchange timescales have been systematically measured and defined in order to assess what is achievable in terms of the scope and frequency of CIP. A dated plan is in place to modify all CIP procedures and deployed arrangements within 12 months.   | Information transmission and exchange timescales have been measured and defined in order to assess what is achievable in terms of the scope and frequency of CIP. All CIP procedures and deployed arrangements have been modified accordingly.   |
| e)  | Information update frequencies have not been specified.  | Information update frequencies have been specified where available in an industry COP or similar. There are also some general (non-route specific) time of day requirements. | Information update frequencies have been specified where available in industry COP or similar. There are also some time of day and other requirements tailored specifically to the RDO's passenger services. They are in current use. | Information update frequencies have been specified where available in industry COP or similar. There are also some time of day and other requirements tailored specifically to the RDO's passenger services. They are in current use. They have taken account of staff and customer feedback and included in training and competence arrangements. | Required information update frequencies have been specified where available in an industry COP or similar. There are also some time of day and other requirements tailored specifically to the RDO's passenger services. They are in current use and have taken account of staff and customer feedback and are included in training and competence arrangements. The details are included in an RDO Standard/ Procedure that is referenced in all relevant job descriptions.               |

## Element 3.3 - Applicable Operational Processes & Plans

### Element Scope - Applicable Operational Processes & Plans

#### Applicable Operational Processes & Plans will:

- Be referenced in the CIP Delivery Plan and support delivery of the requirements outlined in 3.2 above as an integral part of the operational requirements
- Incorporate information arrangements into the relevant operational processes, plans and protocols of key disruption management arrangements such as Service Recovery
- Provide speedy, accurate and reliable information on CIP critical aspects e.g. Traincrew deployment and availability
- Incorporate the functionality and technology (including predictive IT) necessary to consistently produce robust and accurate estimates during disruptive events
- Be reviewed prior to each timetable change, after each disruptive event and assessed via regular audits & checks
- Support the delivery of all customer information needs during disruption including information for customers who are about to start their journey

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.3 - APPLICABLE OPERATIONAL PROCESSES AND PLANS |   | ATTAINMENT LEVEL   |  |  |   |
|--|---|--|--|--|---|
|  | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE   | 5. EXCELLENT  |
| a)   | No list of applicable Operational Processes & Plans exists.   | An incomplete list of applicable Operational Processes & Plans is referenced in the CIP Delivery Plan. There are no documented verification arrangements.  | The applicable Operational Processes & Plans are referenced in full in the CIP Delivery Plan. This includes documented verification arrangements. The list is verified annually.   | The applicable Operational Processes & Plans are referenced in full in the CIP Delivery Plan. This includes documented verification arrangements. The list is verified at least quarterly.   | The applicable Operational Processes & Plans are referenced in the CIP Delivery Plan. A process is in place to ensure they are always current which includes formal review after incidents and staff feedback.  |
| b)   | The documented TOC/NR specific information required to enable informed decisions regarding fault rectification and service recovery to be made is incomplete and unreliable.  | The Applicable Operational Processes & Plans contain the main separate TOC/NR specific information required to enable most decisions regarding fault rectification and service recovery to be made.  | The Applicable Operational Processes & Plans contain separate TOC/NR specific information (including major depot information) required to enable informed decisions regarding fault rectification and service recovery to be made.   | The Applicable Operational Processes & Plans contain all the separate but aligned TOC/NR specific information (including all depot information) required to enable informed decisions regarding fault rectification and service recovery to be made.   | The Applicable Operational Processes & Plans contain all the integrated TOC/NR specific information (including all depot information) required to enable informed decisions regarding fault rectification and service recovery to be confidently made.  |
| c)   | The arrangements in use are undocumented and do not reliably or consistently support the provision of reliable train crewing arrangements.  | The applicable Operational Processes and Plans support the need for reliable train crewing arrangements and information unless serious disruption occurs.  | The applicable Operational Processes and Plans plus stand-alone IT systems address the need for reliable train crewing arrangements unless serious widespread disruption occurs.   | The applicable Operational Processes, Plans and IT systems support the need for reliable train crewing arrangements and information so that revised services can be planned, and the details communicated promptly to customers.   | The applicable integrated Operational Processes, Plans and integrated IT systems support the need for reliable train crewing arrangements and information so that revised services can be planned with confidence and the details communicated promptly to customers.   |
| d)   | There are no documented arrangements in place to enable the provision of estimates for equipment or line blockage rectification/ updates required to support service recovery and normal service resumption planning. | There is a mixture of informal and documented arrangements in place to enable the provision of regular, reliable time estimates for equipment or line blockage rectification or updates required to support service recovery and normal service resumption planning. | There are formal, documented arrangements in the applicable Operational Processes & Plans that enable the provision of regular, reliable time estimates for equipment or line blockage rectification and less dependable arrangements that inform service recovery and normal service resumption planning. | The applicable Operational Processes & Plans and predictive systems estimates from historical data enable the provision of regular, reliable time estimates for equipment or line blockage rectification and generally reliable, proactive updates that inform service recovery and normal service resumption planning. This information is fully integrated into the CIP arrangements. The arrangements are reviewed and updated at least annually. | The applicable Operational Processes & Plans and predictive systems estimates from historical data enable the provision of regular, reliable time estimates for equipment or line blockage rectification and reliable, proactive updates that inform service recovery and normal service resumption planning. This information is fully integrated into the CIP arrangements. The arrangements are reviewed and updated annually and after each major incident. |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |  |  |  |  |  |
|----|--|--|--|--|--|
| e) | The applicable Operational Processes & Plans are randomly reviewed within incident reviews and when some major (not defined) timetable changes occur in order to maintain relevance and integrity. | The applicable Operational Processes & Plans are reviewed within defined major incident reviews and when defined major timetable changes occur in order to maintain relevance and integrity. | The applicable Operational Processes & Plans are reviewed within all major incident reviews and when defined major timetable changes occur in order to maintain relevance and integrity. | The applicable Operational Processes & Plans are reviewed as an integral part of specified serious and all major incident reviews and at each timetable change in order to maintain relevance and integrity. | The applicable Operational Processes & Plans are reviewed as an integral part of all serious and major incident reviews and at each timetable change in order to maintain relevance and integrity. |
|----|--|--|--|--|--|

## Element 3.4 - Operational Decision Criteria during Disruption

### Element Scope - Operational Decision Criteria during Disruption

Operational Decision Criteria during Disruption will:

- Be incorporated in all operational contingency plans and actioned by the single directing mind in each control office
- Ensure both the needs of customers and the operational imperatives are always considered in tandem and addressed in a balanced way (e.g. Service Recovery timescales, capacity, service frequency, scale of customer inconvenience)
- Take full account of the needs of customers caught in the 'eye of the storm' during major disruption or whenever 'Alternative Route' advice is being considered
- Recognise the need to develop wider and more considered strategies and plans when more than one TOC or Route is involved – particularly if this impacts groups of London Termini or major stations in other large cities (e.g. Marylebone/Euston/St Pancras/Kings Cross – disruption affecting any one of these has a direct and rapid effect on the others). Loss of use of Waterloo alone generates a sudden, major, and overwhelming need to address customers' needs - particularly information needs)
- Have been validated using simulations and lessons learnt from previous events
- Be concisely explained to customers in order to maintain credibility and trust

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.4 - OPERATIONAL DECISION CRITERIA DURING DISRUPTION |   | ATTAINMENT LEVEL   |   |  |  |
|---|---|--|---|--|--|
|   | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE   | 5. EXCELLENT   |
| a)  | There are no pre-determined contingency plans and Control actions are informal or best efforts only.  | Generic contingency plans are available for scenarios assessed as higher risk. They have not been tested or validated.   | Pre-determined and pre-tested contingency plans are available for scenarios assessed as high risk and are implemented by no more than two separate collocated Control Offices that have responsibility for the RDOs services. | Pre-determined and pre-tested contingency plans are available for scenarios assessed as high risk and are rigorously implemented by a single directing mind within the integrated Control Office that has responsibility for the RDOs services.  | Pre-determined and pre-tested contingency plans are available for all foreseeable scenarios and are rigorously implemented by a single directing mind within the integrated Control Office that has responsibility for the RDOs services. Arrangements provide documented authority to vary the plans according to the event.  |
| b)  | Contingency and CIP plans do not include customer information requirements.   | The RDOs contingency and CIP plans have limited generic customer care and information actions within them.   | The RDOs contingency and CIP plans have specific customer care and information actions within them that cover all routes and include limited time-based customisation.  | The RDOs contingency and CIP plans have specific customer care and information actions within them that cover all routes. They also include a strong focus on major flows and alternative routing information and extra support and care for customers caught in the eye of the storm.                               | The RDOs contingency and CIP plans have specific customer care and information actions within them that cover all routes. They also include a strong focus on major flows and alternative routing information and extra support and care for customers caught in the eye of the storm. Passenger information actions are documented for each stage of the contingency implementation.  |
| c)  | The RDO contingency and CIP plans do not differentiate by time of day or day of the week.   | The RDOs contingency and CIP plans differentiate by peak and off-peak (M to F only) to allow for capacity maximisation during peak, 'get people home' or 'Do Not Travel' decisions as appropriate. | The RDOs contingency and CIP plans differentiate by peak and off-peak and also weekday/weekends to allow for capacity maximisation during peak, 'get people home' or 'Do Not Travel' decisions as appropriate.                | The RDOs contingency and CIP plans differentiate by peak and off-peak for every day of the week to allow for capacity maximisation during peak, 'get people home' or 'don't travel' decisions as appropriate. For weekdays this is integrated with an alternative route strategy.                                    | The RDOs contingency and CIP plans differentiate by time of day and day of week to allow for capacity optimisation during peak, 'get people home' or 'don't travel' decisions as appropriate. For all major flows pre-prepared alternative route information is freely provided to passengers.   |
| d)  | The RDOs contingency and CIP plans do not take account of the potential effects on frequently affected neighbouring train operators and routes. | The RDOs contingency and CIP plans highlight the potential effects on frequently affected neighbouring train operators and routes.   | The RDOs contingency and CIP plans consider the effects on frequently affected neighbouring train operators and routes and the ability of those to cope with displaced travellers who are diverted to alternative routes.     | The RDOs contingency and CIP plans have been developed collaboratively with neighbouring train operators and routes to cover the effects on frequently affected neighbouring stations, train operators and routes and the ability of those to cope with displaced travellers who are diverted to alternative routes. | The RDOs contingency and CIP plans have been developed collaboratively with neighbouring train operators and routes to consider all multiple aggregated effects on neighbouring stations, train operators and routes and the ability of those to cope with displaced travellers who are diverted to alternative routes. These plans are rehearsed and are revised following incidents. |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |   |   |   |  |   |
|----|---|---|---|--|---|
| e) | The RDO has not considered contingency plan effectiveness as part of post-incident reviews. | Contingency plan effectiveness is considered informally in post-incident reviews and there is informal consideration of passenger information arrangements. | The principles (and a representative sample of the critical details) of more than 50% of such plans and arrangements have been tested in simulations, table-top or live exercises at least bi-annually. These include specific consideration key of passenger information arrangements. | The principles (and a representative sample of the critical details) of all such plans and arrangements have been tested in simulations, table-top or live exercises at least bi-annually. These include specific consideration of all passenger information arrangements. | The principles (and a representative sample of the critical details) of all such plans and arrangements have been tested in simulations, table-top or live exercises at least annually. These include specific consideration of all passenger information arrangements. |
|----|---|---|---|--|---|



## **Element 3.5 - Instructions & Customer Guidance During Disruption (Including Types of Disruptive Events)**

### **Element Scope - Instructions & Customer Guidance During Disruption (including Types of Disruptive Events)**

Instructions & Customer Guidance during Disruption (including Types of Disruptive Events) will:

- Be based on assessment of the characteristics of typical disruptive events and dominant customer segments to inform how arrangements and resources are best deployed
- Provide consistent national guidance regarding categorisation of incidents and local guidance on route specific customer requirements (both information and support) during disruption e.g. frequency and content of on-train announcements during disruption
- Ensure that customer requirements during disruption are incorporated into the job descriptions of all relevant staff
- Ensure operational recovery plans take full account of all the defined customer information requirements
- Be codified and linked to training and competency arrangements (e.g. documented requirements for issues such as frequency and content of announcements when trains are delayed)
- Provide customers and staff with the reasons for taking difficult decisions during disruption

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.5 - INSTRUCTIONS & CUSTOMER GUIDANCE DURING DISRUPTION (INCLUDING TYPES OF DISRUPTIVE EVENTS) |  |  |  |   |   |
|---|--|--|--|---|---|
| ATTAINMENT LEVELS   |  |  |  |   |   |
|   | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)  | There are no formal TOC specific matrices of typical disruptive events and passenger types.  | TOC specific matrices of generic typical disruptive events and generic passenger types are available 'off the shelf' and used to develop tailored route specific CIP solutions during disruptive events. | TOC specific matrices of at least 5 typical disruptive events and 5 TOC-specific customers segments are available 'off the shelf' and used to develop tailored route specific CIP solutions during disruptive events.            | Route specific matrices of at least 5 typical disruptive events and 5 TOC-specific customers are available 'off the shelf' and used to develop tailored route specific CIP solutions during disruptive events.  | Route specific matrices of at least 8 typical disruptive events and 8 TOC-specific customers segments are available 'off the shelf' and used to develop tailored route specific CIP solutions for specific customer needs, during disruptive events.  |
| b)  | There are no specifications for key message formulation in place. Distribution arrangements are not incorporated in relevant job descriptions and there are no defined training & competence arrangements. | Informal documented specifications for key message formulation and distributions exist and staff are aware of the requirements. They are not incorporated in job descriptions. Briefing is informal.     | Specifications for key message formulation and distributions have been developed, documented and incorporated in some job descriptions. Informal training is provided.   | Specifications for message formulation and distributions have been developed, documented and incorporated in all relevant job descriptions. Formal training is provided but there is no formal assessment of competence.  | Specifications for message formulation and distributions have been developed, documented and incorporated in all relevant job descriptions. Formal training is provided and formally assessed in competence management systems.   |
| c)  | There are no structured arrangements for deploying resources to provide information help and advice to customers during disruptive events.   | During disruptive events Control and customer on-call staff routinely implement informal CIP arrangements to provide information, help and support to customers.   | The main customer types likely to be involved in disruptive events are broadly predictable. Control and customer on-call staff are tasked with implementing supplementary CIP arrangements and deploying resources as available. | The different customer types likely to be involved in disruptive events are known or predictable. Control and customer on-call staff are formally trained to implement specific CIP arrangements and deploy resources to provide information, help and support. | The different customer types likely to be involved in disruptive events are known or predictable. Control and both operations and customer on-call staff are formally trained to implement specific CIP arrangements and deploy resources to provide information, help and support. These are tailored to particular customer types and their specific needs. |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |  |   |  |  |   |
|----|--|---|--|--|---|
| d) | <p>Perfunctory explanations only are offered inconsistently to explain difficult decision taking (e.g. To cancel/terminate trains). There are no planned arrangements to address customer challenges regarding disruption decisions.</p> | <p>Brief explanations for difficult decision taking (e.g. to cancel/terminate trains) are provided by exception. Usually at the ad hoc request of a senior RDO manager. The requirement to provide more fulsome information during Major Disruption is documented but compliance is variable.</p> | <p>Explanations for difficult decision taking (e.g. to cancel/terminate trains) are generally provided as part of normal control process and as time and resources permit. Explanations are of variable quality. The requirement to provide more fulsome information during Major Disruption is documented and generally provided. More comprehensive information is subject to control office workload.</p> | <p>Explanations for difficult decision taking to cancel/terminate trains are often provided in standardised messages during incidents. Links are rarely provided to separate, fuller explanations re trade-offs etc. Front line staff are routinely provided with additional information in advance so they can answer and explain the reasons to customers when they challenge decisions. The issue is briefly covered in training modules.</p> | <p>Explanations for difficult decision taking to cancel/terminate trains are always briefly covered in routine messages. Links are provided to separate, fuller explanations along with the implications had these decisions not been taken, to help customers understand the trade-offs. Front line staff- are routinely provided with additional information in advance so they can answer and explain the reasons to customers when they challenge decisions. The importance of giving full explanations is covered in the training modules for all customer facing staff. Staff engage passengers who have alternative information available, to ensure they are aware of the latest available industry information channels.</p> |
|----|--|---|--|--|---|

## Element 3.6 - CSL2 Arrangements

### Element Scope - CSL2 Arrangements

CSL2 (Customer Service Level 2) arrangements will:

- Provide a consistent, established, and integrated industry approach to triggering and providing enhanced levels of customer care & information during disruption
- Codify a clear framework and terminology for communicating information and advice to customers during disruptive events
- Be incorporated in all relevant CIP Delivery Plans and including the competence assessment arrangements for all relevant staff (including those with key operational responsibilities)
- Include achievable time-based targets that support the provision of timely, accurate information at each key disruption management decision points (including regular updates)
- Ensure that post-event reviews and checks are able to fully assess the effectiveness of all aspects of disruption management from a customer perspective
- Enable the frequency of disruptive events to be tracked, managed, and reduced

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.6 - CSL2 ARRANGEMENTS |   | ATTAINMENT LEVEL   |  |   |   |
|---------------------------------|---|--|--|---|---|
|                                 | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)                              | The RDO follows the broad principles in the current industry ACOP but the declaration of CSL2 only triggers the deployment of customer focused arrangements when a major incident occurs. | The RDO follows the principles in the current industry ACOP and the declaration of CSL2 generally triggers some uniform operational responses. The deployment of any documented customer focused arrangements is inconsistent. | The RDO has well defined CSL2 arrangements which trigger a range of operational actions and some customer focused responses. These are generally followed by Control staff with defined roles in managing disruption but actions to provide customer focused information are inconsistent.                 | The partnering RDOs have well defined but separate CSL2 arrangements which trigger operational and customer focused actions. These are always followed by Controls and all staff with defined roles in managing disruption and providing customer focused information.                    | The partnering RDOs have comprehensive, integrated CSL2 arrangements which trigger operational and customer focused actions. These are always followed by Controls and all staff with defined roles in managing disruption and providing customer focused information.            |
| b)                              | There is no training in the actions to be taken when CSL2 is declared. Knowledge is generally acquired 'on the job' and not assessed.   | Training and assessment arrangements for controllers and information controllers in CSL2 are informal. Informal briefing of line staff on CSL2 requirements and actions is undertaken.   | The RDOs Operations & Information Control staff have initial formal training in both operational & customer service issues and competence arrangements, including annual formal assessments, cover these aspects. Briefing of line staff on CSL2 requirements and actions is undertaken at least annually. | The partnering RDOs Control Ops & Info staff and relevant line staff are separately trained in the use of the defined CSL2 thresholds and are formally assessed annually in their application during disruptive events. The separate training & assessment documents are broadly aligned. | The partnering RDOs Control Ops & info staff and relevant line staff are trained in the use of the clearly defined CSL2 thresholds and are formally assessed annually in their application during disruptive events. The arrangements use common training & assessment documents. |
| c)                              | Control staff do not have any written guidance/direction on CSL2 trigger points. Levels of CSL2 triggering authority/empowerment are not defined.   | Control staff have written guidance/direction on CSL2 trigger points. Staff are also empowered to trigger CSL2 but detailed guidance on levels has not been provided.  | Control staff have written guidance/direction on CSL2 trigger points. The partnering RDOs Control staff are separately empowered to trigger or request triggering CSL2 using their professional judgement. Guidance and direction are codified in separate documents.                                      | Control staff have written guidance/direction on CSL2 trigger points. The partnering RDOs Control staff are separately empowered to trigger or request triggering CSL2 using their professional judgement. Guidance and direction are codified in separate but aligned documents.         | Control staff have written guidance/direction on CSL2 trigger points. The partnering RDOs Control staff are jointly empowered to trigger CSL2 using their professional judgement. Guidance and direction are codified in a single document.                                       |
| d)                              | CSL2 events are not uniformly logged.   | All CSL2 events are logged using different templates in a number of different systems.   | All CSL2 events are separately logged using a common format but across a number of different systems.  | All CSL2 events are jointly logged using a common format but across a number of different systems.  | All CSL2 events are jointly logged in a common format using a single accessible logging process and system.   |
| e)                              | CSL2 events are not reviewed.   | CSL2 events are occasionally reviewed but there are no triggering threshold criteria. Conclusions are informally tracked to conclusion by a nominated owner.   | CSL2 events over a logical, defined threshold are separately reviewed and subject to a detailed investigation and assessment covering the RDO. Results and actions are exchanged with partnering RDOs and are formally tracked to conclusion by the nominated CIP Director/Champion.                       | All CSL2 events are separately reviewed and subject to a detailed investigation and assessment covering the RDO. Results and actions are exchanged with partnering RDOs and are formally tracked to conclusion by the nominated CIP Director/Champion.                                    | All CSL2 events are jointly reviewed and subject to a detailed, integrated investigation and assessment covering the partnering RDOs. Unified results and actions are formally tracked to conclusion by the nominated CIP Director.   |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |  |  |   |   |   |
|----|--|--|---|---|---|
| f) | No one is nominated to routinely review CSL2 events. Any reviews are ad hoc. | The PIDD Champion or a nominated manager leads any CSL2 reviews which occur. | The PIDD Champion or a nominated senior manager leads every review above the threshold. | The responsible Customer Information Director or Champion leads every CSL2 review that involves a major Incident. The Champion undertakes a review of all others. | The responsible Customer Information Director leads every CSL2 review that involves a major Incident or signs off the conclusions for less serious events that are investigated by a Champion or nominated manager. |
|----|--|--|---|---|---|

## Element 3.7 - Formulation of Messages - One Version of the Truth

### Element Scope - Formulation of Messages - One Version of the Truth

The formulation of messages to give 'One Version of the Truth' will:

- **Require all messages to be formulated by a communication specialist using documented national standards for message content, quality, and style in order to ensure that all information is uniformly useful to all customers regardless of the provider**
- **Reinforce the absolute need to provide clear and concise information across all delivery channels that is as consistent as possible and matches what customers and staff can see happening**
- **Recognise that the average reading age in the UK is age 9**
- **Require messages (e.g. Holding/Core) to provide advice, rather than just factual information**
- **Need message drafting competencies to be established for all those responsible for formulating customer information messages. Such messages will use plain English, avoiding complicated sentence construction, railway jargon and ambiguous phrasing**
- **Help ensure that Customer facing staff are more reliably informed than the customers they are meeting (who increasingly have real-time multi-channel media sources)**
- **Require arrangements to identify and rapidly resolve any potential sources of corruption or mistiming in systems which could change or confuse the meaning of the information conveyed to customers**
- **Require arrangements to be in place to identify and resolve any conflicts between the facts and social media outputs**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.7 - FORMULATION OF MESSAGE - ONE VERSION OF THE TRUTH |   | ATTAINMENT LEVEL   |   |   |  |
|---|---|--|---|---|--|
|   | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE  | 5. EXCELLENT   |
| a)  | The RDOs control and identified customer facing staff have not been provided with dictionary/style guides and use their best efforts when compiling messages.   | The RDOs control and identified customer facing staff have access to dictionary/style guides. These are limited in scope but include guidance on terms to avoid. These guides have been peer reviewed and updated within the last 12 months.   | The RDO's arrangements ensure that all pre-prepared messages are formulated by skilled communications specialists. Comprehensive dictionary/style guides are available for use in controls during incidents and by all out-based staff responsible for CIP (include guidance on terms to avoid). These guides have been professionally reviewed and updated within the last 12 months and take account of the average reading age of the UK population.   | The RDO's arrangements ensure that all pre-prepared messages, and messages developed for use during major incidents are formulated by skilled communications specialists. Comprehensive dictionary/style guides are available for use in controls during incidents and customised versions are available for all out-based staff responsible for CIP. All include guidance on terms to avoid. These have been professionally reviewed and updated within the last 12 months and take account of the average reading age of the UK population.                           | The Partnering RDO's unified arrangements ensure that all pre-prepared messages, and messages developed for use during major incidents are formulated by skilled communications specialists. Comprehensive dictionary/style guides are available for use in controls during incidents and customised versions are available for all out-based staff directly and indirectly responsible for CIP. All include guidance on terms to avoid. These have been professionally reviewed and updated within the last 12 months and take account of the average reading age of the UK population.   |
| b)  | Information is conveyed unreliably and inconsistently across a number of channels and systems that are not fully aligned. Staff at some stations and on all trains, have the capability to announce and in some cases post, available information that is pertinent to the station or train they are working. Note: Issue with DOOP services. | Information is conveyed across a number of channels and systems that are not fully aligned. Automatic information is consistently provided to staff but manually provided information is inconsistently provided. Information from the two sources is sometimes contradictory. Staff at some stations, and on all trains, have the capability to announce, and in some cases post, local updated information that is pertinent to the station or train they are working. Note: Issue with DOOP services. | Information conveyed across all channels is consistent and aligned. Pre-selected channels are provided to staff at manned stations automatically, others manually, giving them up to date information and containing advice that can be provided to passengers. Staff at all stations and on all trains are able to announce, and in some cases post, announce local updated information that is pertinent to the station or train they are working. All requirements are fully documented. Note: Issue with DOOP services. | Information conveyed across all channels is consistent and aligned. Pre-selected channels are provided automatically to staff, giving them up to date consistent information and containing advice that can be provided to passengers. Staff at all stations are able to announce and post local updated information that is pertinent to the station or train they are working. A channel for sharing internal information during incidents with colleagues is also provided at major stations. All requirements are fully documented. Note: Issue with DOOP services. | Information conveyed across all channels is consistent and aligned. Pre-selected channels are provided including automatically to staff, giving them up to date consistent information and containing segmented advice that can be provided to passengers. Staff at all stations are able to announce and post local updated information that is pertinent to the station or train they are working. A channel for sharing internal information during incidents with colleagues is also provided at all manned stations. All requirements are fully documented. Information can be provided direct to DOOP services by remote announcements and PIS messages. |



## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |   |  |   |  |  |
|----|---|--|---|--|--|
| c) | <p>Messages are inconsistent in structure and/or content. Jargon is used and the information rarely enables many passengers to make informed choices.</p> | <p>Messages generally contain concise, jargon-free English information that enables many passengers to make informed choices:</p> <ul style="list-style-type: none"> <li>• Headlines - what is happening, why and the impact on services</li> <li>• Occasional info regarding estimated times of resumption and whether people should make alternative arrangements</li> <li>• Where appropriate the issue of 'Do Not Travel' advice.</li> </ul> | <p>All messages contain: concise, jargon-free English information that enables many passengers to make informed choices:</p> <ul style="list-style-type: none"> <li>• Headlines - what is happening, why and the impact on services</li> <li>• Alternative routes and means of accessing them</li> <li>• Advice on estimated times of resumption and whether people should make alternative arrangements</li> <li>• Where appropriate the issue of 'Do Not Travel' advice</li> </ul> <p>Regular customers can, with some interpretation, often relate the information to the exact journey they are taking.</p> | <p>All messages contain: concise, jargon-free English information that enables the majority passengers to make informed choices:</p> <ul style="list-style-type: none"> <li>• Headlines - what is happening, why and the impact on services</li> <li>• Alternative routes and means of accessing them</li> <li>• Advice on estimated times of resumption and whether people should go home/make alternative arrangements or travel by another route</li> <li>• Where appropriate the issue of 'Do Not Travel' advice</li> </ul> <p>Regular customers can, with some interpretation, relate the information to the exact journey they are taking.</p> | <p>All messages contain: concise, jargon-free English information that enables all passengers to make informed choices:</p> <ul style="list-style-type: none"> <li>• Headlines - what is happening, why and the impact on services</li> <li>• Alternative routes and means of accessing them</li> <li>• Advice on estimated times of resumption and whether people should go home/make alternative arrangements or travel by another route</li> <li>• Where appropriate the issue of 'Do Not Travel' advice</li> </ul> <p>All customers can, with minimal interpretation, relate the information to the exact journey they are taking.</p> |
| d) | <p>There are no formal arrangements for staff to provide additional advice and help for customer needs during disruption.</p>                             | <p>Staff are encouraged to use their own initiative in order to provide additional advice and help for customer needs during disruption. Such advice is reactive when customers ask. Training is informal only.</p>  | <p>Staff are formally trained how to proactively provide additional advice and help for customer needs during disruption. Where appropriate they are empowered to act, not wait to be told to do so.</p>  | <p>Staff are formally trained how to proactively provide additional advice and help for customer needs during disruption. Where appropriate staff are empowered to act, not wait to be told to do so.</p> <p>The RDO's CIP arrangements proactively provide staff with general advice for customers across all channels and messaging.</p>   | <p>Staff are formally trained how to proactively provide additional advice and help for customer needs during disruption. Where appropriate staff are empowered to act, not wait to be told to do so.</p> <p>The RDO's CIP Information arrangements proactively provide staff with customised advice for to customers via targeted channels and messaging.</p>   |
| e) | <p>No arrangements exist to routinely check the accuracy of social media information relating to the RDO's service provision.</p>                         | <p>A nominated individual reviews Social media output as part of the post incident review arrangements. But there is no structure process or record-keeping of such checks</p>   | <p>A nominated individual is responsible for reviewing Social media output as part of the post incident review arrangements. This is done in a structured way with records kept.</p>  | <p>A nominated individual is responsible for reviewing Social media output as part of the post incident review arrangements. There is documented evidence of the findings from such structured checks, with analysis of changes required and the post-event action taken.</p>  | <p>A nominated individual is responsible for reviewing Social Media output as part of the post incident review arrangements. Defined arrangements are in place to identify and resolve any conflicts between the facts and Social Media outputs in real time 24/7. There is documented evidence of the findings from such structured checks, with analysis of changes required and the post-event action taken. There is a nominated group which reviews the whole process at least monthly.</p>   |

## Element 3.8 - Customer Information Channels/Interfaces

### Element Scope - Customer Information Channels/Interfaces

Customer information channels and interfaces:

- Are the most critical interfaces in the industry customer information arrangements. Deployment must be 100% effective at all times regardless of the prevailing circumstances
- The specific details relating to each Railway Delivery Organisation should be identified and codified in the relevant CIP Delivery Plan
- Channels and Interfaces include visual displays, announcements, signage, electronic communications (e.g. Web messages, and Social Media). Locations include stations, on-train, at home and out & about via mobile devices)
- Note: Optimising this Element will require high-level cross industry action and co-operation to tackle and resolve some challenging national issues in order to remove any impediments to optimisation of CIP arrangements (e.g. announcements on DOO services)

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.8 - CUSTOMER INFORMATION CHANNELS/INTERFACES |   | ATTAINMENT LEVEL   |   |  |   |
|--|---|--|---|--|---|
|  | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED   | 4. PREDITABLE  | 5. EXCELLENT  |
| a)   | The means of providing customer information at the some RDO generic channels has not been considered and/or documented. | The means of providing customer information at the RDO generic interfaces has been identified and documented. The deployed arrangements take some account of the generic customer communication needs.   | The means of providing customer information at every possible RDO location specific interface has been identified and documented. The deployed arrangements take account of the specific customer communication needs and segmentation of at least 5 generic RDO customer types.  | The means of providing customer information at every possible RDO location specific interface has been identified and documented. The deployed arrangements take account of the customer communication needs and segmentation of 6 or more generic RDO customer types.   | The means of providing customer information at every possible RDO location specific interface has been identified by the partnering RDOs and documented in the CIP Delivery Plan. The deployed arrangements take full account of all the route specific customer communication needs and segmentation.  |
| b)   | The deployed arrangements do not cover all possible interface/channels by which customers receive or seek information.  | The deployed arrangements cover basic interfaces/channels only: <ul style="list-style-type: none"> <li>At the Station - PA announcements, visual displays, staff contact, signage, posters, white boards etc.</li> <li>On Train - PA announcements, visual displays, on-board staff contact</li> <li>Remote access - web, app, phone, text alerts, social media, etc.</li> <li>Where operated, there are no arrangements for DOO trains</li> </ul> | The deployed arrangements cover further interfaces/channels:- <ul style="list-style-type: none"> <li>Remote access - web, app, phone, text alerts, social media, etc.</li> <li>At the Station - PA announcements, visual displays, staff contact, signage, posters, white boards etc.</li> <li>On Train - PA announcements, visual displays, on-board staff contact, remote announcements</li> <li>On-train during major disruption: (CATS teams or similar supplementary staffing)</li> <li>Where operated, there are no arrangements for DOO trains</li> <li>Informal checks are made to ensure that information across different channels is consistent in timing and content</li> </ul> | The deployed arrangements cover:- <ul style="list-style-type: none"> <li>Remote access - web, app, phone, text alerts, social media, etc.</li> <li>At the Station - PA announcements, visual displays, staff contact, signage, posters, white boards etc.</li> <li>On Train - PA announcements, visual displays, on-board staff contact, remote announcements</li> <li>On-train during major disruption: (CATS teams or similar supplementary staffing)</li> <li>Where operated there are specific arrangements for DOO trains</li> <li>Formal checks are made to ensure that information across different channels is consistent in timing and content</li> </ul> | The deployed arrangements cover:- <ul style="list-style-type: none"> <li>Remote access - web, app, phone, text alerts, social media, etc. (including that supplied by 3<sup>rd</sup> party providers)</li> <li>At the Station - PA announcements, visual displays, staff contact, signage, posters, white boards etc.</li> <li>On Train - PA announcements, visual displays, on-board staff contact, remote announcements</li> <li>On-train during major disruption: (CATS teams or similar supplementary manpower)</li> <li>Where operated there are specific arrangements for DOO trains</li> <li>Formal checks are made to ensure that information across different channels, including 3<sup>rd</sup> party apps and websites, is consistent in timing and content</li> </ul> |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |   |  |  |   |   |
|----|---|--|--|---|---|
| c) | <p>Documented arrangements do not take account of potential travel phases of customer's journeys.</p> | <p>Documented arrangements take account of some of the potential travel phases of customer's journeys. These include:</p> <ul style="list-style-type: none"> <li>• Planning journey</li> <li>• Checking service at station</li> <li>• At departure stations (waiting train)</li> <li>• Making connections and particularly missed connections</li> <li>• On-train delayed</li> <li>• On-train stranded for a specified extended time period</li> </ul> | <p>Documented arrangements take account of the potential travel phases of customer's journeys. These include:</p> <ul style="list-style-type: none"> <li>• Planning journey</li> <li>• Checking service at station</li> <li>• At departure stations (waiting train)</li> <li>• At intermediate station (waiting train)</li> <li>• Making connections and particularly missed connections</li> <li>• On-train delayed</li> <li>• On-train stranded or delayed for a specified extended time</li> <li>• At destination after delayed journey</li> <li>• At GB Mainline Rail destination with other transport system links e.g. LUL, MetroLink and bus</li> </ul> | <p>Documented arrangements take account of the potential travel phases of customer's journeys. These include:</p> <ul style="list-style-type: none"> <li>• Planning journey</li> <li>• Checking service at station</li> <li>• At departure stations (waiting train)</li> <li>• At intermediate station (waiting train)</li> <li>• Making connections and particularly missed connections</li> <li>• On-train delayed</li> <li>• On-train stranded or delayed for a tightly specified extended time</li> <li>• At destination after delayed journey</li> <li>• At GB Mainline Rail destination with other transport system links e.g. LUL, MetroLink and bus</li> <li>• 'Meeters and greeters' waiting at station</li> </ul> | <p>Documented arrangements take account of the potential travel phases of customer's journeys. These include:</p> <ul style="list-style-type: none"> <li>• Planning journey (including using 3<sup>rd</sup> party information)</li> <li>• Checking service at station</li> <li>• At departure stations (waiting train)</li> <li>• At intermediate station (waiting train)</li> <li>• Making connections and particularly missed connections</li> <li>• On-train delayed</li> <li>• On-train stranded or delayed for tightly specified extended time (route specific)</li> <li>• At destination after delayed journey</li> <li>• At GB Mainline Rail destination with other transport system links e.g. LUL, MetroLink and bus</li> <li>• 'Meeters and greeters' waiting at station</li> </ul> |
|----|---|--|--|---|---|

## **Element 3.9 - Amended Timetables (Pre-Planned & Short Notice Temporary Changes)**

### **Element Scope - Amended Timetables (Pre-Planned & Short Notice Temporary Changes)**

Pre-planned temporary Timetable amendments are required when engineering work curtails capacity/flexibility or when special events necessitate service changes. Short Notice changes may also be required due to unforeseen events. Arrangements will be:

- Codified in a regularly updated RDO procedure
- Issued in sufficient time via all pre-identified relevant customer information interfaces to take account of the capabilities and constraints of available Customer information delivery systems (including IT based and manual)
- Notified to customers who have purchased a ticket but not yet travelled
- Made available to 3<sup>rd</sup> party ticket sellers in sufficient time to allow their customers who have purchased a ticket but not yet travelled to be informed
- Able to provide clear, consistent information across all channels so that customers can make informed choices about timetables and arrangements for travel on advance purchase within T-12, beyond T-12 or where timetables are not available.
- Ensure that 3<sup>rd</sup> party ticket sellers have the necessary information to answer customer questions

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.9 - AMENDED TIMETABLES - PRE-PLANNED & SHORT NOTICE TEMPORARY CHANGES |  |  |   |   |  |
|---|--|--|---|---|--|
| ATTAINMENT LEVEL  |  |  |   |   |  |
|   | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE  | 5. EXCELLENT   |
| a)  | Separate RDO arrangements are not fully documented. Approach depends on best efforts with no pre-planned provisions.   | The RDOs has generic procedures in their CIP Delivery Plan describing how pre-planned and short notice temporary timetables will be developed, communicated to both staff and customers, and then deployed. No collaboration with other RDOs and no process of learning from previous instances. | The partnering RDOs have separate and aligned up to date procedures in their respective CIP Delivery Plans describing how pre-planned and short notice temporary timetables will be developed, communicated to both staff and customers, then successfully deployed. They collaborate with other RDOs and have a process of learning from previous instances. | The partnering RDOs have separate and collaborative procedures referenced in the respective CIP Delivery Plans describing how pre-planned and short notice temporary timetables will be developed, communicated to both staff and customers, then successfully deployed. They collaborate with other RDOs and have a process of learning from previous instances. | The partnering RDOs have a combined up to date procedure referenced in the CIP Delivery Plan describing how pre-planned and short notice temporary timetables will be developed, communicated to both staff and customers, and then successfully deployed. They collaborate with other RDOs and have a process of learning from previous instances.  |
| b)  | The RDO has no process to achieve the earliest possible notification of a pre-planned Amended Timetables or to take account of different customer types or the information channels. | The RDO uses reasonable endeavours to achieve target deadlines for the notification of pre-planned Amended Timetables. Some account is taken of the different customer types and information channels, but these have not been reviewed within the previous 12 months.                           | The earliest possible notification of a pre-planned Amended Timetable is consistently provided via all internal and identified customer information channels in order to reach the maximum number of potentially affected customers. The arrangements have been reviewed within the previous 12 months.   | The earliest possible notification of a pre-planned Amended Timetable is consistently provided via all internal and identified customer information channels in order to reach the maximum number of potentially affected customers. The arrangements are tailored to each instance of amended TT and have been reviewed within the previous 12 months.           | The earliest possible notification of a pre-planned Amended Timetable is routinely provided via all internal and identified customer information channels in order to reach the maximum number of potentially affected customers. The arrangements are tailored to each instance of amended TT and have been reviewed within the previous 12 months. The arrangements fully comply with good practice issued by Transport Focus. |
| c)  | There are no arrangements for contacting customers who have purchased an advance ticket.   | For pre-planned changes best efforts are made through websites and other generic information channels to advise customers who have purchased an advance ticket. The advice is not personalised.  | For pre-planned changes above a documented threshold, customers who have purchased an advance ticket are contacted individually by email, text, or other means when amendments are made that will modify their journey. The advice is not personalised.   | For pre-planned changes above a documented threshold, customers who have purchased an advance ticket are contacted individually by email, text, or other means when amendments are made that will modify their journey. The advice contains information personalised to their journey.  | For all pre-planned changes customers who have purchased an advance ticket are contacted individually by email, text, or other means when amendments are made that will modify their journey. The advice will contain information personalised to their journey.   |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |  |  |  |  |   |
|----|--|--|--|--|---|
| d) | The RDO has not addressed this issue with the 3 <sup>rd</sup> party companies and provides no advice or information to 3 <sup>rd</sup> parties so they can correctly respond to customer questions they receive. | The RDO has addressed this issue with the 3 <sup>rd</sup> party companies and has informally agreed arrangements to achieve compliance (with no target date). Advice is provided on request to 3 <sup>rd</sup> parties to enable response to customer questions. | The RDO has addressed this issue with the 3 <sup>rd</sup> party companies and has agreed a formally committed plan to achieve full compliance within the next 12 months Advice is proactively provided to 3 <sup>rd</sup> parties to enable response to customer questions.  | The RDO has addressed this issue with the 3 <sup>rd</sup> party companies and has agreed a formally committed plan to achieve full compliance within the next 12 months Advice is proactively provided to 3 <sup>rd</sup> parties to enable response to customer questions. The RDO has formally verified the 3 <sup>rd</sup> party companies' arrangements for personally contacting their customers within appropriate timescales. | The RDO has addressed this issue with the 3 <sup>rd</sup> party companies and certified full compliance has been achieved. Specific advice is proactively provided to 3 <sup>rd</sup> parties to enable response to customer questions. The RDO has established annual audit arrangements to formally verify the 3 <sup>rd</sup> party companies' arrangements for personally contacting their customers within appropriate timescales whenever pre-planned changes are to be made. |
| e) | The RDO has not assessed the capabilities of the delivery systems and arrangements to provide information and advice for both pre-planned and short-term timetable changes.                                      | The RDO has assessed the capabilities of the delivery systems and arrangements to provide information and advice for both pre-planned and short-term timetable changes but arrangements are not yet fully implemented.   | The RDOs have separately assessed the capabilities of the individual delivery systems and verified the arrangements can provide customers with clear, consistent information and advice for both pre-planned and short-term timetable changes via all channels/interfaces. The separate un-aligned arrangements have been implemented. | The RDOs have separately verified that the capabilities of the individual delivery systems and arrangements can provide customers with clear, consistent information and advice for both pre-planned and short-term timetable changes via all channels/interfaces. The separate arrangements are fully implemented.  | The RDOs have verified that the capabilities of the collective delivery systems and arrangements can provide all customers with clear, consistent information and advice for both pre-planned and short-term timetable changes via all channels/interfaces. The integrated arrangements are fully implemented.  |

## Element 3.10 - Major Timetable Change

### Element Scope - Major Timetable Change

The process of timetable change is often fraught with uncertainties for large numbers of passengers, particularly regular commuters whose train timings, train length, train type and destinations served may all be changing. Even more minor timetable changes have direct effects on people as individuals. Staff will invariably be in the front line when passengers ask for advice and information so their needs will be paramount. Aligned documented processes RDOs will:

- Ensure major timetable change is collectively and comprehensively managed in a structured and integrated way
- Use a documented approach that is appropriate for the scale of any timetable change and the level of assessed risk involved
- Ensure all enabling requirements are fully identified, managed, and successfully delivered
- Engage 3<sup>rd</sup> party ticket sellers and information providers
- Involve staff in developing and delivering customer focused arrangements
- Focus on ensuring the revised arrangements are successfully delivered from the start



## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.10 - MAJOR TIMETABLE CHANGE |  | ATTAINMENT LEVEL  |  |   |  |
|---------------------------------------|--|---|--|---|--|
|                                       | 1. AD HOC  | 2. MANAGED  | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT   |
| a)                                    | The RDO has no documented approach to major timetable changes.   | The RDO has documented its intended approach to major timetable changes but has not agreed this with relevant RDO partners. This has not yet been deployed and is not referenced in the CIP Delivery Plans.   | The RDO has documented its intended approach to major timetable changes and has agreed this with the relevant RDO partners. This has not yet been deployed but is referenced in the respective CIP Delivery Plans.   | The RDO has developed and deployed a comprehensive, structured approach aligned with the relevant RDO partners to fully assess and meet customers' information needs whenever major timetable changes are planned. This is referenced in the respective CIP Delivery Plans.   | The RDO has developed and deployed a comprehensive integrated approach with the relevant RDO partners to fully assess and meet customers' information needs whenever major timetable changes are planned. This is referenced in the respective CIP Delivery Plans. The approach uses formal professional project management arrangements.  |
| b)                                    | There are no arrangements to assess the nature and scale of Timetable change and its impact.   | The approach includes assessment of the nature and scale of the change and the estimated impact at known hot spots but is not aligned with other industry partners.   | The approach includes assessment of the nature and scale of the change and the estimated impact on all customers throughout the RDO's service groups. The arrangements are informally agreed with other industry partners.   | The approach includes assessment of the nature and scale of the change and the estimated impact on all customers throughout the RDO's service groups. The arrangements are documented in the RDO's discrete event specific TT Change Plans which are agreed with other industry partners. The approach uses informal project management arrangements.   | The approach includes a joint partnering RDO assessment of the nature and scale of the change and the estimated impact on all customers throughout the RDO's service groups. The arrangements are documented in a comprehensive joint RDO Partners event-specific TT Change Plan whenever such a change is planned. The approach uses formal, professional, project management arrangements.   |
| c)                                    | The RDOs TT change plans are basic and rely on 'corporate memory' to ensure that obvious key aspects are covered and address (e.g. Timetables and Information System updates). Arrangements for contacting user groups and press etc. are generally ad hoc. There are no arrangements for contacting 3 <sup>rd</sup> party information and ticket providers. | The RDO's TT Change Plans addresses all key aspects including advance communication and contact with User Groups, press/media and briefing of all staff. It also addresses key aspects including the early provision of Printed Timetables, PDF downloads and leaflets early. The larger 3 <sup>rd</sup> party information and ticket providers are included in the engagement. | The RDO's TT Change Plans address all aspects including advance communication, contact with User Groups/opinion formers, press/media information and engagement of all staff. It also addresses key aspects including the early provision of Printed Timetables, PDF downloads and leaflets early. The arrangements ensure station and train PIS systems and announcement systems are updated, tested and ready. A comprehensive programme to engage with all 3 <sup>rd</sup> party information and ticket providers are included in the engagement. | The aligned RDO Partners TT Change Plans address all aspects including advance communication, contact with User Groups/opinion formers, press/media information and engagement of all staff. It also addresses key aspects including the early provision of Printed Timetables, PDF downloads and leaflets early. The arrangements ensure station and train PIS systems and announcement systems are updated, tested and ready. A comprehensive programme to engage with all 3 <sup>rd</sup> party information and ticket providers are included in the engagement. | The RDO has a unified, integrated plan agreed with partnering RDOs that is formally project managed by a single project manager. It addresses all aspects including advance communication, contact with User Groups/opinion formers, press/media information and engagement of all staff. It also addresses key aspects including the early provision of Printed Timetables, PDF downloads and leaflets early. The arrangements ensure station and train PIS systems and announcement systems are updated, tested and ready. A comprehensive programme to engage with all 3 <sup>rd</sup> party information and ticket providers are included in the engagement. |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |  |  |  |  |   |
|----|--|--|--|--|---|
| d) | The RDO routinely issues a generic 'staff brief' prior to all Major Timetable changes. There are no further channels used. | The RDO routinely issues a 'staff brief' prior to all Major Timetable changes and undertakes formal briefing of the contents. Staff on trains and at stations most affected by the TT change are given additional information and materials to support them explaining the changes to customers. | The RDO issues a series of specific tailored 'staff briefs' prior to all Major Timetable changes and undertakes formal briefing of the contents. Staff on trains and at stations most affected by the TT change are given additional information and materials to support them explaining the changes to customers. Arrangements are in place to gather staff and customer feedback and adjust the briefing and information cascade. | The RDO develops and implements a comprehensive programme of TT change communications. Including a series of specific tailored 'staff briefs' prior to all Major Timetable changes and undertakes formal briefing of the contents. Staff on trains and stations most affected by the TT change are given additional information and materials to support them explaining the changes to customers. Arrangements are in place to gather staff and customer feedback and adjust the briefing and information cascade. Informal project management arrangements are employed. | The RDO Partners jointly develop and implements a comprehensive programme of TT change communications. Including a series of specific tailored 'staff briefs' prior to all Major Timetable changes and undertakes formal briefing of the contents. Staff on trains and stations most affected by the TT change are given additional information and materials to support them explaining the changes to customers. Arrangements are in place to gather staff and customer feedback and adjust the briefing and information cascade. Formal Project management and Professional communications and marketing arrangements are employed.  |
| e) | 'Day 1 Timetable launch' requirements are not documented. Deployed arrangements are ad hoc.                                | Documented RDO 'Day 1 Timetable launch' arrangements include the deployment of volunteer managers and staff as available at their local station, limited press releases and a limited focus on the robust resourcing and punctuality of 'at risk' train services.                                | Documented RDO 'Day 1 Timetable launch' arrangements include organisation, training and visible deployment of managers and staff at stations and on trains in support of staff ,factual customer press releases and a focus on the robust resourcing and punctuality of train services. The arrangements are tailored to flows and stations most affected by the TT change. .  | Documented RDO 'Day 1 Timetable launch' arrangements include organisation, training and visible deployment of managers and staff at stations and on trains in support of staff, factual customer press releases and a focus on the robust resourcing and punctuality of train services. The arrangements are tailored to flows and stations most affected by the TT change. Customer press releases are used to maximum positive effect, and additional resources are deployed to focus on the robust resourcing and punctuality of train services.                        | Documented RDO 'Day 1 Timetable launch' arrangements include organisation, training and visible deployment of managers and staff at stations and on trains in support of staff, factual customer press releases and a focus on the robust resourcing and punctuality of train services. The arrangements are tailored to flows and stations most affected by the TT change. Customer press releases are used to maximum positive effect, and additional resources are deployed to focus on the robust resourcing and punctuality of train services. MP's influencers, radio and TV/media adverts are deployed to maximise messaging and MPs, influencers and opinion formers are specifically targeted. |

## Element 3.11 - Access to Alternative Routes

### Element Scope - Access to Alternative Routes

#### Access to Alternative Routes will:

- **Require cross-industry arrangements to be in place that identify alternative routes for all foreseeable scenarios**
- **Need pre-agreed protocols to be established where necessary so that cross-TOC and cross-NR route decision making arrangements during disruption can be as slick as possible**
- **Depend on arrangements that are detailed in the relevant CIP Delivery Plans which take account of all customer types**
- **Be deployed by staff who have the appropriate competence and fully understand the requirements**
- **Require contingency customer wayfinding arrangements to be developed and deployed when required**
- **Be reviewed each time alternative route arrangements have been deployed**
- **Be supported by pre-agreed ticket acceptance arrangements**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.11 - ACCESS TO ALTERNATIVE ROUTES |   | ATTAINMENT LEVEL   |   |   |   |
|---|---|--|---|---|---|
|   | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)  | There are no alternative route arrangements in place. Where these involve other RDOs an application has to be made each time as there are no 'call-off' arrangements. There is no requirement to agree complex arrangements in advance. | Details of major alternative routes are included in the RDOs CIP Delivery Plan. Documented agreements are in place that includes ticket acceptance. There is a documented requirement to review the arrangements annually but one –off complex arrangements have only been agreed in advance by exception. | Details of all foreseeable and realistic alternative routes are included in the RDOs CIP Delivery Plan. Mutual agreements for help from other RDOs during disruption are formalised. Arrangements for travel and ticket acceptance have been pre-agreed in advance and can be deployed quickly. The arrangements are reviewed annually, and complex arrangements have been agreed in advance. | Details of all foreseeable and realistic alternative routes are included in the RDOs CIP Delivery Plan. Mutual agreements for help from other RDOs during disruption are formalised. Arrangements for travel and ticket acceptance have been pre-agreed in advance and can be deployed quickly. These arrangements include notional trigger levels for considering the issue of 'stay at home/don't travel' advisory messages. The arrangements are reviewed annually, and complex arrangements are agreed and tested in advance. | Details of all foreseeable and realistic alternative routes are included in the RDOs CIP Delivery Plan. Mutual agreements for help are formalised for help from other RDOs during disruption. Arrangements for travel and ticket acceptance have been pre-agreed in advance and can be deployed quickly. These arrangements include notional trigger levels for considering the issue of 'stay at home/don't travel' advisory messages. The arrangements have been simulated, tested, and refined in advance and are reviewed at least annually. Complex arrangements are agreed, tested, and validated in advance. |
| b)  | The RDO does not provide customers with information regarding the realities of travel by an alternative route or associated ticket acceptance considerations.   | The RDO provides customers with generic information regarding the realities of travel by an alternative route and associated ticket acceptance considerations, but they are left to work-out whether that is practical for their individual journey.   | The RDO provides customers with generic information regarding the realities of travel by an alternative route and ticket acceptance plus limited advice about onward connections. Infrequent travellers are left to work-out what might be practical for their individual journey.  | The RDO provides customers with destination and route-specific information regarding the realities of travel by an alternative route and ticket acceptance plus advice about extended journey times and connections. Plans reflect the realities of peak/off peak periods and weekday/weekend and the issues that customers on their onwards routes may face.   | The RDO provides customers with destination and route-specific information regarding the realities of travel by an alternative route and ticket acceptance and advice about extended journey times and connections. Plans reflect the realities of peak/off peak periods and weekday/weekend and the issues that customers on their onwards routes may face. The plans have considered crowding and the ability of people sent by a longer route to actually reach their destination by the end of service.   |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |   |  |   |  |   |
|----|---|--|---|--|---|
| c) | No contingent arrangements have been considered for routing/ wayfinding posters, leaflets, or other communication arrangements. Existing staff make best efforts to assist but passengers are left to find their own way. | There are informal contingent arrangements for routing and wayfinding and staff make their best efforts to help. During deployment volunteer staff, when available, are provided to assist any passengers with exceptional requirements. | Formal contingent arrangements for wayfinding and poster communication arrangements have been developed for selected high footfall stations and routes only. At these locations extra staff are routinely provided to assist any passengers with exceptional requirements. Such staff are verbally briefed regarding the alternative route requirements and considerations. | Formal contingency routing, wayfinding and poster communication arrangements have been developed for stations that have been identified using structured criteria. At these locations extra staff are routinely provided to assist all passengers with their information requirements. Such staff receive formal training regarding the alternative route requirements and are regularly refreshed on changes annually or whenever significant timetable changes are made. | Integrated contingency routing, wayfinding, posters, leaflets, and other communication arrangements have been developed in advance, are available for deployment and are reviewed each time they are deployed by partnering RDOs. Extra staff are routinely provided to assist any passengers their information requirements. Such staff have received formal training regarding the alternative route requirements and are regularly refreshed on changes or whenever significant timetable changes are made. Training includes participation in rehearsals and simulations. |
|----|---|--|---|--|---|

## **Element 3.12 - Clarity of Communications**

### **Element Scope - Clarity of Communications**

**Clarity of Communications will require:**

- **Co-ordination between all companies & entities involved in information delivery to ensure all messages are aligned in both content, terminology, and currency**
- **The establishment of structured internal real time checks including ‘mystery shopper’ resources to ensure customers receive accurate and timely information**
- **All companies to ensure that marketing and advertising promotional information does not dominate websites and other digital information so that customers can readily obtain the information they need (particularly during disruption)**
- **Emergency communication arrangements to be established and regularly tested**
- **All staff who draft messages and/or use PA systems to have been appropriately trained (including refresher training at defined intervals)**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 3.12 - CLARITY OF COMMUNICATIONS |  | ATTAINMENT LEVEL  |   |  |   |
|--|--|---|---|--|---|
|  | 1. AD HOC  | 2. MANAGED  | 3. STANDARDISED   | 4. PREDICTABLE   | 5. EXCELLENT  |
| a)                                       | There is no process for using feedback on the clarity of communications and any feedback received is not used to improve CIP activities.               | Feedback during disruptive events is captured from customers and User Group members, and via feedback from social media. This is not used systematically to adjust and improve CIP activities. Internal monitoring of information provision is undertaken by nominated members of the public affairs team during normal office hours. Feedback is provided in real time if practicable. | Feedback on the quality/usefulness of received information from the customer's perspective during disruptive events is received from customers and User group members, and via feedback from social media. This is sifted, analysed, and reviewed to inform adjustment and improvement of CIP activities. Structured internal monitoring of deployed information provision is undertaken by nominated members of the public affairs team during normal office hours and by the respective on-call manager out of hours. Feedback is provided in real time if practicable. | Feedback on the quality/usefulness of received information from the customer's perspective during disruptive events is received from customers and User group members, and via feedback from social media and sifted, analysed, and reviewed to inform adjustment and improvement of CIP activities. Additionally the RDO undertakes proactive monitoring of the information quality and usefulness through diverse channels and looks at differing needs in peaks/off peaks and weekends. Nominated members of the public affairs team undertake this work during normal office hours, the respective on-call manager out of hours. Feedback is generally provided in real time. The findings are also assessed in post-incident reviews. | Feedback on the quality/usefulness of received information from the customer's perspective during disruptive events is received from customers and User group members, and via feedback from social media and sifted, analysed, and reviewed to inform adjustment and improvement of CIP activities. Additionally the RDO undertakes proactive monitoring of the information quality and usefulness through diverse channels and looks at differing needs in peaks/off peaks and weekends. Nominated members of the public affairs team undertake this work during normal office hours by the respective on-call manager out of hours. Feedback is generally provided in real time. The findings are also assessed in post-incident review. Trends and themes in feedback and monitoring are analysed at least quarterly and used to improve CIP. |
| b)                                       | The RDO has not addressed the issue of suppressing Website and App advertising during disruption so that customers can focus on passenger information. | Website and Apps advertising can be suppressed but only with the involvement of IT support staff. The CIP Delivery Plan does not include arrangements to trigger this suppression.  | Website and Apps have functionality to ensure immediate suppression of advertising and focus on passenger information. The CIP Delivery Plan does not include arrangements to trigger this suppression.   | Website and Apps have functionality to ensure suppression/minimisation of advertising and focus on passenger information. The CIP Delivery Plan includes arrangements to trigger this suppression. The RDO control can trigger this in real-time. Note: Minimisation is defined as 'Not more than 15% of the visible area and not using colours and graphics that attract users to their information more than the PIDD'.  | Website and Apps have functionality to ensure suppression/minimisation of advertising and provide additional specific information regarding the disruption information. The CIP Delivery Plan includes arrangements to trigger this suppression and provide supplementary information. The RDO control can trigger this in real-time. Note- Minimisation is defined as 'Not more than 15% of the visible area and not using colours and graphics that attract users to their information more than the PIDD'.   |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |  |   |   |  |  |
|----|--|---|---|--|--|
| c) | Emergency customer communication arrangements at stations served by the RDO have not been identified.                                | Emergency customer communication arrangements have been identified at all stations served by the RDO, but deployment times are not known, certified or tested.      | Emergency customer communication arrangements have been identified at every station served by the RDO. Target deployment timescales have been set but are not routinely tested or certified.  | Emergency customer communication arrangements have been identified at every station served by the RDO. Deployment timescales have been set and these are routinely tested and certified at designated stations (at least 90% of stations served by the RDO). | Emergency customer communication arrangements have been identified at every station served by the RDO. Deployment timescales have been set and these are routinely tested and certified at every station served by the RDO.  |
| d) | No arrangements exist to consider competence in message formulation and announcing.  | Informal arrangements exist to consider job competencies for information message drafting and PA announcement requirements. There are no competence specifications. | Competencies in message drafting and PA announcements have been developed using industry Good Practice and guidance but they are not consistently deployed and are not used in staff selection. They are supported by informal training arrangements. | Competencies in message drafting and PA announcements have been developed and implemented using industry Good Practice and guidance. Staff selection is specifically focussed on these capabilities. They are supported by formal training.                  | Competencies in message drafting and PA announcements have been developed and implemented using industry Good Practice and guidance. Staff selection is specifically focussed on these capabilities. They are supported by formal training. Specialist training is provided for major incident information management. |
| e) | No arrangements exist to assess the audibility and clarity of announcements or the visibility and readability of visual information. | The audibility and clarity of announcements or the visibility and readability of visual information is examined reactively in response to complaints.               | The audibility and clarity of announcements or the visibility and readability of visual information is examined informally but proactively, by managers and supervisors.  | A formal programme of monitoring and assessing the audibility and clarity of announcements or the visibility and readability of visual information is in place.  | A formal programme of monitoring and assessing the audibility and clarity of announcements or the visibility and readability of visual information is in place. This includes the use of defined standards which reflect the need of customers with visual and auditory impairment.                                    |



## Component 4: IT Systems & Functionality

All industry IT systems that directly or indirectly support the provision of customer information must be integrated/aligned and reliable. Using predictive technologies to provide better disruption estimates and recovery information will also enable GB Mainline Rail to provide more helpful and accurate information and advice when disruption occurs. IT systems must support, enable, and enhance the requirements described in Section 3 - Delivery Arrangements.

## Element 4.1 - Relevant Operational Systems

### Element Scope - Relevant Operational Systems

Relevant Operational Systems will:

- Be identified and comprehensively mapped to ensure all the interfaces, connections and decisions have been identified and assessed
- Contain all the appropriate customer information requirements and incorporate all the necessary feeds to and from both internal and customer facing information systems
- Be aligned and synchronised to ensure that customer facing information systems provide the latest reliable information
- Contain built-in automatic in-process checks that verify 'One Version of the Truth' is provided at all times. This should be presented to users in a way that is user-friendly, concise, and easy to navigate
- Make maximum use of predictive technologies in order to provide decision makers and information providers with the best information on impact, times to rectify (including improvement to a less restrictive degraded states) and estimates on how customers in all journey phases will be affected (including those yet to set off)
- Be supported by maintenance arrangements that ensure high levels of reliability and availability
- Include arrangements to identify and resolve any potential sources of corruption or mis-timings in systems which could change or confuse the meaning of the information used internally and that conveyed to customers

NOTE – This Component links to Component 2 (2.3 c). It is recommended that these are assessed in conjunction.

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| COMPONENT 4.1- RELEVANT OPERATIONAL SYSTEMS |   | ATTAINMENT LEVEL   |  |   |   |
|---|---|--|--|---|---|
|   | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)  | The RDO has identified the main deployed operational systems. Flow mapping has not been undertaken or is incomplete. Interfaces and connections with other operations systems and the connections with customer information systems have not been fully identified. Decision points are not mapped. | The RDO has identified all the deployed operational systems and mapped some of the flows, interfaces and connections with other operations systems and the connections with customer information systems. Some decision points have also been mapped.                              | The partnering RDOs have separately identified all the deployed operational systems, mapped the flows, interfaces and connections with other operations systems and the connections with customer information systems. The pivotal decision points have also been mapped.              | The partnering RDOs have separately identified all the deployed operational systems, mapped the flows, interfaces and connections with other operations systems and the connections with customer information systems. All the decision points have also been mapped and at least 75% assessed. | The partnering RDOs have jointly identified all the deployed operational systems, mapped the flows, interfaces and connections with other operations systems and the connections with customer information systems. All the decision points have also been mapped and assessed.           |
| b)  | The CSL2 customer information requirements are not incorporated in the key operational systems used for incident management. The 'Fitness for Purpose' of the combined operational & customer facing systems has not been checked in the last 2 years.  | The customer information requirements (e.g. CSL2) are available as 'user-selected' outputs from some operational systems used for incident management. The 'Fitness for Purpose' of the combined operational and customer facing systems has been checked within the last 2 years. | The customer information requirements (e.g. CSL2) are hard wired into the standard outputs of the key separate operational systems used for incident management. The 'Fitness for Purpose' of the combined operational and customer facing systems are checked and validated annually. | The customer information requirements (e.g. CSL2) are hard wired into the standard outputs of all the separate operational systems used for incident management. The 'Fitness for Purpose' of the combined operational and customer facing systems are checked and validated annually.          | The customer information requirements (e.g. CSL2) are hard wired into the standard outputs of all the integrated operational systems used for incident management. The 'Fitness for Purpose' of the combined operational and customer facing systems are checked and validated annually.  |
| c)  | No review of the relevant operational systems has been undertaken in the last 2 years.  | The relevant operational systems are only checked reactively in response to major incidents and frequent complaints.   | Some proactive checking and review of relevant operational systems is undertaken to identify and implement improvements (including increased integration). There are no automatic processes for flagging system inconsistencies in real time.  | All relevant operational systems are reviewed biennially to identify and implement improvements (including increased integration). Limited automatic checks flag inconsistencies between some systems in real time.   | All relevant operational systems are reviewed annually to identify and implement improvements (particularly increased integration). Automatic inbuilt checks flag inconsistencies between systems in real time.   |
| d)  | Estimates for resumption etc. are typically ad hoc, subjective, or taken at face value and routinely used without question or challenge.  | The RDO proactively seeks estimates of likely resumption but takes these at face value and does not have the capability and/or opportunity to challenge and clarify these.   | The RDO proactively seeks estimates of likely resumption and actively challenges and clarify these. Moderation using 'learning' based on experience is manual and inconsistently deployed.   | Estimates for 'time to fix' and transitions to less degraded states are IT generated using past recorded data and then refined and updated manually to produce estimates for service resumption (including 'time to fix', transitions to less degraded states and travel advice) .              | Estimates for 'time to fix' and transitions to less degraded states are IT generated using past recorded data. Predictive technology is then routinely used to enhance estimates for service resumption (including 'time to fix', transitions to less degraded states and travel advice). |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |  |   |   |  |  |
|----|--|---|---|--|--|
| e) | For critical operational systems there are no available documented maintenance arrangements. Staff generally know how to report faults, but repair times are inconsistent. | For critical operational systems . there are some available documented maintenance arrangements. Documented fault reporting requirements are available for some systems, but repair times are inconsistent. | For all critical operational systems standards of reliability and availability are specified. Maintenance arrangements are in place and fault reporting requirements are documented for the main systems are available to control staff only. 'Time to Fix' targets are aspirational. | For all critical operational systems high standards of reliability and availability are specified. Robust maintenance arrangements are in place and fault reporting requirements are documented and available to all relevant staff. Some include monitored 'time to fix' targets. | For all critical operational systems high standards of reliability and availability are specified and attained. Robust maintenance arrangements are in place and fault reporting requirements are documented and available to all relevant staff. These all include monitored 'time to fix' targets. |
|----|--|---|---|--|--|

## Element 4.2 - Internal & Customer Facing Information Systems

### Element Scope - Internal & Customer Facing Information Systems

The RDO's Internal & Customer Facing Information Systems will:

- Be identified and comprehensively mapped to ensure all the interfaces, connections and decision have been identified and assessed
- Contain all the appropriate customer information requirements and incorporate all the necessary feeds to and from the relevant operational systems
- Be aligned and synchronised to ensure that customer facing information systems provide the latest reliable information
- Contain built-in automatic in-process checks that verify 'One Version of the Truth' is being provided at all times and presented to users in a user-friendly, concise format that is easy to navigate
- Include arrangements to identify and resolve any potential sources of corruption or mis-timings in systems which could change or confuse the meaning of the information conveyed to customers.
- Have the maximum levels of commonality in order to support multi-channel messaging
- Be supported by maintenance arrangements that ensure high levels of reliability and availability

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 4.2 - INTERNAL & CUSTOMER FACING INFORMATION SYSTEMS |  | ATTAINMENT LEVEL   |   |   |   |
|--|--|--|---|---|---|
|  | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)   | The RDO has identified the main deployed internal & customer facing information systems. Flow mapping and decision point identification/ mapping have not been undertaken.   | The RDO has identified all the deployed internal & customer facing information systems and mapped some of the flows, interfaces and connections with other information and operational systems. Some decision points have been identified but not mapped.                            | The RDO has identified all the deployed internal & customer facing information systems mapped the flows, interfaces, and connections with other customer information systems and some of the connections with operational systems. The pivotal decision points have been mapped but not assessed. | The partnering RDOs have separately identified all the deployed internal & customer facing information systems, mapped the flows, interfaces and connections with other customer information systems and the connections with operational. All the decision points have also been mapped and at least 75% assessed. | The partnering RDOs have jointly identified all the deployed internal & customer facing information systems, mapped the flows, interfaces and connections with other customer information systems and the connections with operational systems. All the decision points have also been mapped and assessed. |
| b)   | The CSL2 customer information requirements are not incorporated in the key internal & customer facing information systems. The 'Fitness for Purpose' of the combined operational & customer facing systems has not been checked in the last 2 years. | The customer information requirements (e.g. CSL2) are available as 'user-selected' outputs from some key internal & customer facing information systems. The 'Fitness for Purpose' of the combined operational and customer facing systems has been checked within the last 2 years. | The customer information requirements (e.g. CSL2) are hard wired into the standard outputs of the key separate internal & customer facing information systems. The 'Fitness for Purpose' of the combined operational and customer facing systems are checked and validated annually.              | The customer information requirements (e.g. CSL2) are hard wired into the standard outputs of all the separate internal & customer facing information systems. The 'Fitness for Purpose' of the combined operational and customer facing systems are checked and validated annually.                                | The customer information requirements (e.g. CSL2) are hard wired into the standard outputs of all the integrated internal & customer facing information systems. The 'Fitness for Purpose' of the combined operational and customer facing systems are checked and validated annually.                      |
| c)   | Customer information systems are not all regularly reviewed. Checks to assure 'One Version of the Truth' and message consistency rely on the ad hoc efforts of the staff.  | The relevant customer facing information systems are all checked reactively in response to learning from major incidents and frequent complaints.  | Some proactive checking and review of customer facing information systems is undertaken to identify and implement improvements (including increased integration). There are no automatic processes for flagging message inconsistencies in real time.   | All customer facing information systems are reviewed biennially to identify and implement improvements (including increased integration). Limited automatic checks flag message inconsistencies between some systems in real time.  | All customer facing information systems are reviewed annually to identify and implement improvements (particularly including increased integration). Automatic inbuilt checks flag message inconsistencies and mis-timings between systems in order to support delivery of 'One Version of the Truth'.      |

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

|    |  |   |   |  |  |
|----|--|---|---|--|--|
| d) | <p>Messaging and information systems are disparate and do not have common functionality. Messaging across all mediums requires multiple, separate keyed entries.</p>   | <p>Common functionality in order to support common messaging via social media, web pages, and mobile phone, in addition to sending information to station displays, on train information systems and personal staff devices has been achieved at specific locations where changes have been progressed within upgrades in the last 2 years.</p> | <p>Common functionality in order to support common messaging via social media, web pages, and mobile phone, in addition to sending information to station displays, on train information systems and personal staff devices has been achieved at specific locations where changes have been progressed within upgrades in the last 5 years.</p> | <p>Common functionality in order to support common messaging via social media, web pages, and mobile phone, in addition to sending information to station displays, on train information systems and personal staff devices has been achieved at specific locations where changes have been progressed within upgrades in the last 10 years.</p> | <p>All systems have planned common functionality in order to support common messaging via all channels (e.g. social media, web pages, and mobile phone) in addition to sending information to station displays, on train information systems and personal staff devices.</p>   |
| e) | <p>For critical information equipment, e.g. display screens, PA systems etc. there are no available documented maintenance arrangements. Staff generally know how to report faults, but repair times are inconsistent.</p> | <p>For critical information equipment, e.g. display screens, PA systems etc. there are some available documented maintenance arrangements. Documented fault reporting requirements are available for some systems, but repair times are inconsistent.</p>   | <p>For all critical information equipment, e.g. display screens, PA systems etc. standards of reliability and availability are specified. Maintenance arrangements are in place and fault reporting requirements are documented for the main systems are available to control staff only. 'Time to Fix' targets are aspirational.</p>           | <p>For all critical information equipment, e.g. display screens, PA systems etc. high standards of reliability and availability are specified. Robust maintenance arrangements are in place and fault reporting requirements are documented and available to all relevant staff. Some include monitored 'Time to Fix' targets.</p>               | <p>For all critical information equipment, e.g. display screens, PA systems etc. high standards of reliability and availability are specified and attained. Robust maintenance arrangements are in place and fault reporting requirements are documented and available to all relevant staff. These all include stringently monitored 'Time to Fix' targets.</p> |

## Element 4.3 - 3<sup>rd</sup> Party Data Access Arrangements

### Element Scope - 3<sup>rd</sup> Party Data Access Arrangements

3<sup>rd</sup> Party Data Access arrangements will:

- Check on the quality and consistency of information provided by 3<sup>rd</sup> parties
- Regulate and control the use of rail industry data and verify compliance with the regulated arrangements
- Encourage and sponsor innovative solutions developed by 3<sup>rd</sup> parties to address individual customer information needs

Note: 3<sup>rd</sup> Party providers cover Ticket Issuing companies such as Trainline and in this context may also include other TOCs.



## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 4.3 – 3 <sup>rd</sup> PARTY DATA ACCESS ARRANGEMENTS |  | ATTAINMENT LEVEL   |  |  |   |
|--|--|--|--|--|---|
|  | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE   | 5. EXCELLENT  |
| a)   | No arrangements exist to check on information provision by 3 <sup>rd</sup> Parties.  | Where issues or complaints about information occur, contact is made with 3 <sup>rd</sup> party providers.  | The RDO has informal arrangements in place to jointly monitor the provision of information by 3 <sup>rd</sup> party providers and reacts to requests for assistance.   | The RDO has formal arrangements in place to jointly monitor the provision of information by 3 <sup>rd</sup> party providers and conducts random checks at least once a month. The RDO proactively helps 3 <sup>rd</sup> parties to improve information quality.  | The RDO has formal arrangements in place to jointly monitor the provision of information by 3 <sup>rd</sup> party providers and conducts random checks at least once a week. The RDO proactively helps 3 <sup>rd</sup> parties to improve information quality. Documented improvement plans exist to tackle issues.   |
| b)   | No formal arrangements exist to regularise the extraction and use of data by 3 <sup>rd</sup> party providers for customer information. | RDG has published arrangements to regularise the extraction and use of data by 3 <sup>rd</sup> party providers for customer information, but no checks are made to validate correct application of these arrangements. | RDG has published arrangements to regularise the extraction and use of data by 3 <sup>rd</sup> party providers for customer information, and informally checks on correct application of these arrangements. | RDG has published arrangements to regularise the extraction and use of data by 3 <sup>rd</sup> party providers for customer information and conducts formal checks and audits to validate correct application of these arrangements.   | RDG has published arrangements to regularise the extraction and use of data by 3 <sup>rd</sup> party providers for customer information and conducts formal checks and audits to validate correct application of these arrangements. Findings are published to incentivise providers to raise their game and where necessary sanctions are applied and recognition given according to performance.  |
| c)   | No arrangements exist to encourage 3 <sup>rd</sup> parties to offer innovative information solutions.                                  | The RDO has informal arrangements with 3 <sup>rd</sup> Party providers to encourage innovative ideas in information provision.   | The RDO has formal arrangements with 3 <sup>rd</sup> Party providers to encourage innovative ideas in information provision. It sponsors and provides funding for development and implementation.            | In addition to the RDO having formal arrangements with 3 <sup>rd</sup> Party providers to encourage innovative ideas in information provision. It sponsors and provides funding for development and implementation; a framework has been developed that prioritises areas that are known to be weak and/or lacking in innovation. This includes customer segments that need improved accessibility to information. | In addition to the RDO having formal arrangements with 3 <sup>rd</sup> Party providers to encourage innovative ideas in information provision. It sponsors and provides funding for development and implementation; a framework has been developed that that prioritises areas that are known to be weak and/or lacking in innovation. This includes customer segments that need improved accessibility to information. GB Mainline Rail arranges regular (annual) events such as ‘Hackathons’ to stimulate the involvement of 3 <sup>rd</sup> parties and identify suitable entrepreneurial IT partners. |

## **Component 5: People Management, Development, and Involvement**

**Customer focused recruitment, training, and the involvement of everyone with a role in information provision is essential in order to provide good customer information at all times and under all circumstances. Train, Station Operators and Network Rail have a responsibility to ensure that all staff with a direct or indirect role in the delivery of customer information are competent to do so. This must include those who undertake such duties infrequently i.e. during major incidents, or when serious prolonged disruption occurs. In order to achieve this level of competence and readiness, clear job specifications, customer focused Recruitment and Training, plus rigorous Competence Assessment arrangements are essential.**

## Element 5.1 - Job Specifications (Attitude and Skills)

### Element Scope - Job Specifications (Attitude and Skills)

The Job Specification arrangements will require:

- Identification of all positions that have customer information provision responsibilities. This will include indirect and/or non-customer facing roles (e.g. Line Controllers)
- Attitudinal and skills requirements for all customer facing roles to be clearly defined so that recruitment/promotional arrangements can specifically take account of these
- Address the skills and knowledge requirements for those who have on-call responsibilities or undertake occasional/infrequent roles assisting customers, such as Customer Action Team members
- Post specific responsibilities, skills, and training requirements to be defined for staff that craft both written and oral customer messages

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| Element 5.1 - JOB SPECIFICATIONS (ATTITUDE & SKILLS) |   | ATTAINMENT LEVEL  |   |  |   |
|--|---|---|---|--|---|
|  | 1. AD HOC   | 2. MANAGED  | 3. STANDARDISED   | 4. PREDICTABLE   | 5. EXCELLENT  |
| a)   | Job roles with passenger information responsibilities are not identified as such.   | Job roles with direct responsibility for passenger information are generally identified as such but the arrangements are inconsistently applied.                            | The RDO has formally identified all Job roles with a responsibility for direct and indirect information provision to customers, but not with any specific details of how that role should be performed. | The RDO has identified all Job roles with a responsibility for direct and indirect information provision to customers, with specifics of how that role should be performed.  | The RDO has identified all Job roles with a responsibility for direct and indirect information provision to customers with specifics of how that role should be performed. These roles are shown in organisation charts/records and are readily identifiable.   |
| b)   | There are no specified attitudinal and skills requirements for Job roles with direct or indirect passenger information responsibilities.        | There are no specified arrangements but Informal attitudinal and skills requirements are generally applied to Job roles with direct passenger information responsibilities. | Job roles with direct passenger information responsibilities have standardised, generic attitudinal and skills requirements formally defined.   | Job roles with a direct and/or indirect responsibility for passenger information have formally defined, specific attitudinal and skills requirements tailored to their specific post. Skills in passenger information management form part of recruitment and promotional selection.   | Job roles with a direct and/or indirect responsibility for passenger information have formally defined, specific attitudinal and skills requirements tailored to their specific post. Skills in passenger information management form a major weighted part of recruitment and promotional selection.   |
| c)   | There are no attitudinal and skills requirements for Job roles with occasional/infrequent responsibilities for passenger information provision. | Informal attitudinal and skills requirements are generally applied to Job roles with occasional/infrequent passenger information provision responsibilities.                | Job roles with occasional/infrequent passenger information responsibilities have standardised, generic attitudinal and skills requirements formally defined.  | Job roles with an occasional/infrequent responsibility for passenger information have formally defined, specific attitudinal and skills requirements tailored to their specific post. Skills in passenger information management form part of recruitment and promotional selection.   | Positions with an occasional/infrequent responsibility for information provision have clearly defined requirements within the job specifications and people have been selected trained and coached to attain the right skills for their specific role. Skills in passenger information management form a major weighted part of recruitment and promotional selection.                  |
| d)   | The skills and knowledge for staff responsible for compiling written messages and announcements for customers have not been addressed.          | Informal skills requirements are applied to staff responsible for compiling written messages and announcements for customers.   | Positions that have responsibilities for compiling written messages and announcements have standardised skills requirements formally defined but post holders only receive informal training.           | Positions that have responsibilities for compiling written messages and announcements for customers have defined specific skills requirements tailored to their specific job role. Formal training is provided for job holders, but this is standardised rather than tailored to their roles. These skills form part of recruitment and promotional selection. | Positions that are responsible for compiling written messages and announcements for customers have clearly defined skills requirements tailored to their specific job role. Post holders are selected, receive specific skills training, and are coached to attain the right skills for the position. These skills form a major weighted part of recruitment and promotional selection. |

## **Element 5.2 - Recruitment and Training**

### **Element Scope - Recruitment and Training**

**Recruitment & Training Arrangements must:**

- **Contain a relentless focus on ‘thinking like a customer’ and ensure that comprehensive training includes practical skills that focus on meeting the needs of all customers. They should also take full account of ‘What Good Looks like’ in the field of customer focused information provision in other sectors**
- **Use defined standards, training syllabuses, external accreditations, and/or assessment arrangements. Link into suitable Continuous Professional Development (CPD) schemes**
- **Recognise that attitudinal issues are best addressed at recruitment**
- **Deliver regular updated refresher training as arrangements, technology and customer expectations change**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 5.2 - RECRUITMENT & TRAINING |   | ATTAINMENT LEVEL   |   |  |   |
|--------------------------------------|---|--|---|--|---|
|                                      | 1. AD HOC   | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE   | 5. EXCELLENT  |
| a)                                   | Training in information provision is not provided<br>No interventions are made of any kind to help staff see what customer information needs are. | Informal on-the job briefing is occasionally undertaken to remind staff of customer information needs and of the key skills and behaviours relevant to their role in providing customers with information. | Initial formal training relevant to the position is undertaken and takes account of customer expectations and feedback from customer complaints about information provision. Informal on-the job briefing is also occasionally undertaken to remind staff of customer information needs | Formal training relevant to staff roles is undertaken and takes account of customer expectations. Feedback from customer information complaints, emerging customer expectations, new technology and identified good practice are briefed annually. | The RDO has formally structured training arrangements to encourage those with information responsibilities to see events through the eyes of the customers. The initial training covers all areas of information provision including drafting of messages, announcement skills, face to face customer contact includes an assessment of practical skills (e.g. Announcing, message drafting). |
| b)                                   | Consideration of innate attitudes to customer service do not feature at all in recruitment and selection.   | Consideration of innate attitudes to customer service is informally featured in recruitment and selection.   | Consideration of attitudes to customer service forms a formal part of recruitment and selection but this is not tailored to information provision and is not a go/no-go reason for selection.   | Attitudes to customer service, forms the core of recruitment and selection and is specifically weighted to information provision and is a go/no-go reason for selection.   | Attitudes to customer service, forms the core of recruitment and selection for information provision and is a go/no-go reason for selection. Internal promotion criteria also include these requirements.   |
| c)                                   | Refresher training and briefing is not provided.  | Informal on-the job refresher briefing is undertaken to remind staff of the key skills and behaviours relevant to their role.  | Regular refresher training relevant to staff roles takes account of customer expectations and feedback from customer complaints about information.  | Regular refresher training relevant to staff roles takes account of emerging customer expectations, new technology and identified good practice.   | Regular refresher training takes account of emerging and anticipated customer expectations, new technology and identified good practice. Role play exercises are used to illustrate the difficulties passengers face with jargon and poor information. Training needs are reviewed frequently using staff appraisals.   |

## Element 5.3 - Accreditation & Competence Assessment

### Element Scope - Accreditation & Competence Assessment

Accreditation & Competence Assessment arrangements will:

- Be formally documented and include the defined outcomes that will be used to prioritise training and coaching. Incorporate good practice from feedback and benchmarking in other comparable industries
- Address both the mechanistic requirements and the softer issues of those in customer facing roles for example how to demonstrate empathy with delayed passengers and to defuse anger or frustration by offering help and practical advice
- Regularly assess and accredit all those with responsibilities for directly or indirectly producing and/or delivering customer information - including those with important occasional/infrequent responsibilities (e.g. CATS team members and on-call staff)

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 5.3 - ACCREDITATION & COMPETENCE ASSESSMENT |   | ATTAINMENT LEVEL  |  |   |  |
|---|---|---|--|---|--|
|   | 1. AD HOC   | 2. MANAGED  | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT   |
| a)  | There are no standards for training and competence assessment in information provision.                                       | Standards for training and competence assessment in information provision are based on informal custom and practice and generic requirements.                         | Formal, documented RDO standards are used for training and competence assessment in information provision. Some roles are differentiated within the training syllabi.  | Formal, documented RDO standards are used for training and competence assessment in information provision. Training syllabi exist and include softer issues such as demonstrating empathy with angry passengers by offering help and practical advice. Arrangements are tailored to specific job roles. | Formal standards are used for training, coaching and competence assessment in information provision. Training syllabi exist and are tailored to specific job roles. They include softer issues such as demonstrating empathy with delayed passengers and defusing anger or frustration by offering help and practical advice. External accreditation against recognised qualifications and assessment arrangements are in use. |
| b)  | No assessment of competence in information provision is undertaken.   | Competence in CIP is informally assessed by team leaders/supervisors.   | Competence in CIP is formally assessed, and outcomes used to prioritise training and coaching for skills improvement.  | Competence in CIP is formally assessed, and outcomes are used to prioritise training and coaching for skills improvement. Assessment includes direct real-time observation.   | The RDO has formally documented CIP competence assessment arrangements and outcomes are used to prioritise training and coaching for skills improvement. Assessment uses direct real time observation (including during incidents), diverse evidence from customers and others, role play and simulation.  |
| c)  | Accreditation and competence arrangements do not cover occasional/infrequent customer information provision responsibilities. | Occasional/infrequent responsibilities for on-call staff include basic customer information provision during incidents. This aspect is subject to cursory assessment. | Occasional/infrequent responsibilities for on-call staff include basic customer information provision during incidents. This aspect is subject to cursory assessment. Cat's team members have generic assessment arrangements. | Occasional/infrequent responsibilities that include customer information provision (On-call, CATs team members etc.) are available as separate modular additions to post specific accreditation and competence arrangements.  | Occasional/infrequent responsibilities that include customer information provision (e.g. On-call, CATs team members etc.) are included in the personal accreditation and competence arrangements of each designated individual.  |



## **Component 6: Customer Focused Results**

**Comprehensively measuring the effectiveness of customer information delivery is a vital component of the CIM arrangements. Internal measures will validate the effectiveness of the customer information policy and strategies. People results will measure the effectiveness of the arrangements for developing and energising those in the industry that help deliver information to customers. Customer results will provide essential feedback on a range of hard measures and perception issues, whilst societal results will be drawn from independent reports commissioned by organisations such as Transport Focus in order to obtain an incisive external perspective.**

## Element 6.1 - Internal Key Performance Indicators

### Element Scope - Internal Key Performance Indicators

Internal Key Performance Indicators will:

- Provide frequent 'pulse' checks on the effectiveness of all aspects of the information processes and arrangements and give regular reassurance that the deployed customer information arrangements are being used in the correct way
- Assist the routine identification of any minor adjustments that are required to optimise results
- Identify areas for attention and potential improvement solutions plus those that may require more in-depth research and/or analysis
- Be linked to the competence assessment arrangements and used to assess the performance of key staff and teams

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 6.1 - INTERNAL KEY PERFORMANCE INDICATORS |  | ATTAINMENT LEVEL   |  |   |   |
|---|--|--|--|---|---|
|   | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)  | There are no internal KPIs or 'in-process' measures for information provision. | Internal qualitative/and hoc data is infrequently used by a nominated group to evaluate the provision of information.                      | Some formal internal CIP KPIs exist and are reviewed at least quarterly by a nominated senior forum. 'In-process' measures are available for CSL2 arrangements. A running action plan of improvements is maintained. | A comprehensive suite of 'in-process' measures and internal CIP KPIs exists, with targets and measures and is used to drive change. The data is reviewed at least monthly by a nominated senior forum and a running action plan of improvements is maintained. The KPIs have weighting and prioritisation in order to address the key factors which affect customer information satisfaction. | A comprehensive suite of 'in-process' measures and internal CIP KPIs exists, with targets and measures and is used to drive change. The data is reviewed at least monthly by a nominated senior forum and a running action plan of improvements is maintained. The KPIs have weighting and prioritisation in order to address the key factors which affect customer information satisfaction. Critical indicators (e.g. CSL2 times) are measured and reviewed via flash KPIs and routine weekly internal performance results. |
| b)  | CIP data is only reviewed within some incident reviews.                        | Informal arrangements exist by which a senior manager reviews qualitative/ad hoc CIP data.   | A nominated senior manager reviews internal KPI data on CIP though the results are not shared at Exec level or used to systematically drive improvements to CIP arrangements.  | A nominated senior manager reviews internal 'in-process' & KPI data on CIP. The results and recommended actions made because of data review are shared at Exec level and used to drive improvements to CIP arrangements.  | A nominated senior manager reviews internal 'in-process' & KPI data on CIP. The results and recommended actions made because of data review are shared at Exec level and used to drive improvements to CIP arrangements. The RDO has a group or forum that has the responsibility to act on emerging trends.  |
| c)  | No use is made of internal data to improve personal CIP performance.           | Informal use is made of internal data to improve personal CIP performance, but no formal structure or arrangements exist for this purpose. | A formalised process is in place to make regular use of internal data on CIP provision. This informs briefing and training interventions to encourage better personal performance.                                   | A formalised process is in place to make regular use of internal data on CIP provision. This informs briefing and training interventions to encourage better personal performance. The results are used as part of formalised competence assessments and to review the performance of teams (e.g. in Control) to improve team skills.   | A formalised process is in place to make regular use of internal data on CIP provision. This informs briefing and training interventions to encourage better personal performance. The results are used as part of formalised competence assessments and to review the performance of teams (e.g. in Control) to improve team skills. Data is used in appraisals of individuals with key CIP delivery roles to improve skills and motivation.   |

## **Element 6.2 - People Results**

### **Element Scope - People Results**

**People Results will:**

- **Be based around those staff engaged in any aspect of performance information provision and Include measuring staff motivation, involvement, and satisfaction**
- **Be a mix of both hard measures e.g. absenteeism/sickness and perception issues e.g. motivation and empowerment**
- **Use integrated local and national staff recognition and reward schemes to identify, celebrate and reward excellence**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 6.2 - PEOPLE RESULTS |  | ATTAINMENT LEVEL  |   |   |   |
|------------------------------|--|---|---|---|---|
|                              | 1. AD HOC  | 2. MANAGED  | 3. STANDARDISED   | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)                           | Staff feedback on CIP is not gathered.<br>Staff surveys and/or focus groups are not used.                            | Informal staff feedback on CIP is used if offered, but there is no structured process to gather this. Staff surveys are undertaken each year but only occasionally cover customer information.  | Processes are in place to encourage staff feedback on CIP issues and suggestions to improve arrangements.<br>Annual surveys are routinely used to obtain staff feedback.  | The RDO has processes in place to contact all those with a direct or occasional/infrequent role in CIP at six monthly intervals in order to identify obstacles to good information delivery and possible areas for improvement.<br>Regular annual surveys, focus groups and interviews are routinely used to obtain staff feedback. | The RDO has processes in place to proactively contact all those with a direct or occasional/infrequent role in CIP each quarter in order to identify obstacles to good information delivery and possible areas for improvement.<br>Regular surveys, focus groups, interviews and structured appraisals are routinely used to obtain staff feedback. |
| b)                           | There are no arrangements for measuring the absenteeism, sickness, and staff turnover of customer information staff. | The RDO has a process for routine measurement of the absenteeism, sickness, and staff turnover of any group of staff should problems emerge. The arrangements are reactive rather than proactive but there is little evidence of consistent deployment. | The RDO has a process for measuring the absenteeism, sickness, and staff turnover of any group of staff should problems emerge. The arrangements are reactive rather than proactive but there is evidence that the arrangements are routinely deployed. | The satisfaction of customer information staff is regularly measured via areas such as absenteeism, sickness, and staff turnover. This is an integral part of the standard employee satisfaction measurement arrangements within the RDO that are applied to identified critical work groups.                                       | The satisfaction of customer information staff is regularly measured via areas such as absenteeism, sickness, and staff turnover. This is an integral part of the standard employee satisfaction measurement arrangements within the RDO that are consistently applied to all work groups and regularly reviewed by a nominated management group.   |
| c)                           | No staff recognition & reward scheme of any kind exists.   | Staff are informally recognised & rewarded, and this can include their efforts in providing excellent customer information.   | A formal staff recognition & reward scheme exists, and this can include their efforts in providing excellent customer information.  | A formal staff recognition & reward scheme exists, and this includes categories for providing excellent customer information.   | A formal staff recognition & reward scheme exists, and this includes categories for CIP. In addition 'Excellence Awards are regularly made to recognise outstanding contributions to the provision of customer information (particularly to staff with an indirect role).   |
| d)                           | There are no established national GB Mainline Rail wide recognition arrangements that cover CIP.                     | The national GB Mainline Rail wide recognition arrangements cover Customer Service, but these do not explicitly focus on CIP.   | Established (1 year plus) annual national recognition arrangements are in place within GB Mainline Rail to celebrate successes and reward those who deliver good customer service.  | Established (1 years plus) annual national recognition arrangements are in place within GB Mainline Rail to celebrate successes and recognise & reward those who deliver good customer service. CIP excellence is a defined category.   | Established (3 years plus) annual national recognition arrangements are in place within GB Mainline Rail to celebrate successes and recognise & reward those who deliver good customer service. CIP excellence is a defined category.   |

## **Element 6.3 - Customer Results**

### **Element Scope - Customer Results**

**Customer Results will:**

- **Enable GB Mainline Rail to review, refine and optimise the information delivery arrangements and drive the development of new approaches to issues that are adversely impacting customer satisfaction**
- **Be obtained from established programmes that include surveys, focus groups plus received compliments and complaints**
- **Cover both objective and subjective (perception) issues and help prioritise issues that require attention (particularly if major investment is needed)**
- **Be underpinned by comprehensive customer loyalty schemes**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 6.3 - CUSTOMER RESULTS |  | ATTAINMENT LEVEL   |  |  |  |  |
|--------------------------------|--|--|--|--|--|--|
|                                | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE   | 5. EXCELLENT   |  |
| a)                             | The RDO has no arrangements in place to gather or analyse customer data or make use of it. The RDO reacts to customer complaints only. | The RDO reviews customer data such as complaints but there is no structured process or use of the information to drive improvement.  | The RDO gathers customer data such as complaints, reviews and analyses it. It also makes use of national survey programme data such as that produced by Transport Focus and RDG. This information includes perception data and is used to drive improvements to CIP. | The RDO proactively undertakes surveys (e.g. net advocacy scores) of its customers for feedback on CIP, reviews and analyses it in addition to use of national survey programme data such as that produced by Transport Focus and RDG. This information includes comprehensive perception data and is used to drive improvements to CIP. | The RDO's Executive Team reviews a basket of survey data and measures from customers (including its own). The RDO proactively undertakes its own surveys feedback on CIP and uses national survey programme data such as that produced by Transport Focus and RDG. This information includes comprehensive perception data and is analysed and used to identify and seek funding for improvement actions. The arrangements have regularly achieved National awards/ recognition. |  |
| b)                             | There is no process of regular customer dialogue.  | Informal meetings are held with customers on stations and trains and their feedback on CIP is considered by the RDO.                 | A formal programme of customer engagement is in place which proactively seeks and invites feedback on CIP however these are not led at Executive level.  | Regular dialogue and engagement with customer groups and customer surgeries are used to reinforce a 'listening culture' and are led at Exec level. Customer feedback (e.g. from Meet the Manager sessions) is collated and positively reviewed at defined intervals by an appropriate Executive level group.                             | Regular dialogue and engagement with customer groups and customer surgeries are used to reinforce a 'listening culture'. Complaints and other customer feedback (e.g. from Meet the Manager sessions) is collated and positively reviewed at defined intervals by an appropriate Executive level group. Customer panels are convened by the RDO to help develop more effective customer focused CIP arrangements.  |  |
| c)                             | The RDO does not operate any customer loyalty schemes.   | The RDO operates a customer loyalty schemes but this is not used to obtain feedback on any specific components of service provision. | The RDO operates a customer loyalty schemes and this is occasionally used to obtain feedback on general service provision satisfaction which may include CIP.  | Loyalty programmes have been established for at least 2 years to build positive advocacy amongst key groups of customers and are routinely used to obtain insightful negative and positive feedback. CIP is routinely included in the feedback requests.   | Loyalty programmes have been established for at least 3 years to build positive advocacy amongst key groups of customers and are routinely used to obtain insightful negative and positive feedback. CIP is specifically targeted for feedback to gain maximum information.  |  |

## **Element 6.4 - Societal Results**

### **Element Scope - Societal Results**

**Societal results will**

- **Be obtained from surveys, press articles and meetings. The latter will include meetings with customers, consumer groups, special interest groups, public representatives, and governmental authorities**
- **Demonstrate a proactive, comprehensive and customer focused approach to customer information provision that reaches beyond engagement with the directing Government departments, Regulators and Local Authorities**
- **Foster working relationships that are focused on continuously improving the information provided to customers**



## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 6.4 - SOCIETAL RESULTS |  | ATTAINMENT LEVEL   |   |   |  |
|--------------------------------|--|--|---|---|--|
|                                | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE  | 5. EXCELLENT   |
| a)                             | Beyond reactive engagement with government bodies and local authorities, the RDO does not undertake any wide engagement with non-customer influencers and organisations. | The RDO has a formal process in place to identify and reach out to relevant statutory government and local authorities. Arrangements to undertake engagement with non-customer influencers and organisations are informal.       | The RDO has a formal process in place to identify and reach out to relevant statutory government and local authorities. The RDO has defined arrangements for reacting and responding to CIP complaints and issues raised by non-customer influencers and organisations as they occur. | The RDO has a formal process in place to identify and reach out to relevant statutory government and local authorities. The RDO has defined processes and established arrangements for reacting and responding to CIP complaints and issues raised by non-customer influencers and organisations as they occur.   | To gain feedback and improve CIP the RDO has a formal process and programme in place to identify and reach out beyond relevant statutory government bodies and local authorities to wider influencers and stakeholders. These include consumer groups, Community Rail Network and CRP/ Station Adoption Partnerships and social enterprises within community rail.   |
| b)                             | There is no focus on any minority or groups that have particular perspectives on CIP needs of people who are disabled or have impairments or health conditions.          | The RDO reacts to minority or groups who raise issues about accessibility to CIP information for people who are disabled or have impairments or health conditions. There are no defined arrangements for addressing such issues. | The RDO has proactively sought inputs from minority or groups who raise issues about accessibility to CIP information for people who are disabled or have impairments or health conditions or used such groups' published strategies/aims or objectives.                              | In addition to using minority or support group's published strategies/aims or objectives, the RDO has formal liaison arrangements with groups that have important perspectives on information provision (including the development of specific strategies) for people who are disabled or have impairments or health conditions e.g. Help the Aged, RNIB, British Deaf Association etc. | The RDO actively supports and interacts with groups that have important perspectives on information provision (including the development of specific strategies) for people who are disabled or have impairments or health conditions e.g. Help the Aged, RNIB, British Deaf Association etc. The RDO invests in innovations and trials with these organisations to help improve wider accessibility to customer focused CIP.  |
| c)                             | The RDO has not received any reward or recognition for the provision of CIP. There is no analysis or use made of press/media coverage of CIP.                            | Some recognition for general customer service has been received by the RDO within the last 3 years but this has not specifically featured CIP. There is informal analysis and use of press/media coverage of CIP.                | Some recognition for CIP excellence has been received by the RDO within the last 2 years. Press/media techniques and outreach are used from time to time to drive positive opinions and coverage of CIP.  | Some recognition for CIP excellence has been received by the RDO within the last 2 years. Structured press/media techniques and outreach are used from time to time to drive positive opinions and coverage of CIP.   | The RDO has received formal recognition awards and accolades relating to excellent customer focused CIP in the previous 12 months. Press/media techniques and outreach are used systematically to drive positive opinion of CIP. Media coverage is regularly reviewed and analysed for feedback and the results are consistently positive around improving CIP. The organisation promotes customer focused information provision as a positive feature of its service through advertising. |

## **Component 7: Monitoring, Review & Refinement**

**Assessment and refinement are key drivers of continuous improvement and these activities are central to the CIM model. Learning from results both in real-time and at longer frequencies will enable areas of concern to be identified so that the learning can be used to prioritise, plan, and implement improvements.**

## **Element 7.1 - Real-time Feedback & KPIs**

### **Element Scope - Real-time Feedback & KPIs**

**Real-time Feedback & KPIs will:**

- **Ensure customer information provision is kept under close daily scrutiny in the same way as performance and reliability**
- **Use information, data and feedback from several identified sources (including in-process KPIs and perception feedback)**
- **Highlight minor improvement areas so they can be quickly addressed**
- **Be regularly reviewed by a senior manager and discussed at a nominated group**
- **Include arrangements for reviewing customer information provided by 3<sup>rd</sup> party providers**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 7.1 - REAL-TIME FEEDBACK & KPIS |  | ATTAINMENT LEVEL   |   |  |  |
|---|--|--|---|--|--|
|   | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE   | 5. EXCELLENT   |
| a)                                      | No real-time CIP metrics are in use.   | Real-time CIP feedback, such as numbers of complaints received, is gathered and analysed informally.   | Formal period metrics are in use to evaluate the effectiveness of CIP arrangements. Real-time 'pulse-checks' are in place to assess the output during CSL2 events.  | A broad range of period metrics plus formal in-process and live feedback measures are in use to 'pulse check' real time CIP processes and message quality. Checks are in place to assess the output during CSL2 events.  | A broad range of formal period metrics plus formal in-process and live feedback measures are in use to 'pulse check' real time CIP processes and message quality. The RDO reviews CIP metrics with the same real time managerial attention as train performance data. Checks are in place to assess the output during CSL2 events.   |
| b)                                      | No analysis of CIP metrics or measures takes place.                                | CIP metrics such as complaints are analysed and reviewed informally.   | A nominated senior manager such as the CIP champion reviews the formal metrics at least each period. A management summary is prepared and circulated.   | A nominated senior manager such as the CIP champion reviews the formal metrics at least weekly. A management summary is prepared and circulated each period. These are used to inform adjustments to CIP arrangements.   | A nominated senior manager such as the CIP champion reviews the formal metrics at least weekly. A consolidated management summary is prepared and circulated each period. The results are reviewed every 4 weeks by a nominated group chaired by a Director and used to inform adjustments to CIP arrangements. Flash information measures are reviewed daily and weekly by the Executive Team.  |
| c)                                      | No evaluation of 3 <sup>rd</sup> party providers is undertaken.                    | The RDO contacts 3 <sup>rd</sup> Party providers reactively in response to complaints about quality of their information. No proactive evaluation is undertaken. | The RDO samples the quality of CIP from 3 <sup>rd</sup> party information providers in real time but there are no defined processes or supporting resources allocated to encourage the provider to improve their CIP outputs. | The RDO samples the quality of CIP from 3 <sup>rd</sup> party information providers in real time and provides proactive real-time feedback each period so that such providers can adjust the quality and accuracy of their CIP outputs.  | The RDO samples the quality of CIP from 3 <sup>rd</sup> party information providers in real time and provides proactive real-time feedback so that such providers adjust the quality and accuracy of their CIP. Regular reviews of progress by 3 <sup>rd</sup> Party providers are held to ensure the CIP processes are aligned and the quality and consistency of output are maintained at a high level. Mystery shopper activities are undertaken. |
| d)                                      | There are no arrangements for obtaining regular feedback during disruptive events. | Arrangements are in place to obtain regular specified feedback during Major Incidents only, but this is not structured in any organised way.                     | Arrangements are in place to obtain structured, regular specified feedback during defined disruptive events but there is little evidence of this being used to verify and/or modify information and advice.                   | Established arrangements have been in place for at least 1 year to obtain regular structured feedback during disruptive events from nominated points within the RDO. This is to ensure that feedback from both customers and staff is used to modify information and advice, as necessary. | Established arrangements have been in place for at least 3 years to obtain regular structured feedback during disruptive events from nominated points within the RDO. This is to ensure that feedback from both customers and staff is used to modify information and advice, as necessary.  |

## Element 7.2 - Internal and External Quality Assessments

### Element Scope - Internal and External Quality Assessments

Internal and External Quality Assessments will:

- Use structured feedback from mystery shoppers in order to complement the Real-time feedback and KPIs with more qualitative information
- Ensure that feedback is as broadly based as possible and includes the 'Touch Points' where customers source information during CSL2 events and other serious incidents
- Develop a network of information quality partners in both transport and other sectors that will be used for exchanging good practice via cross-company visits in order to exchange ideas, seek innovation (technology & processes), and carry out Benchmarking

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 7.2 - INTERNAL AND EXTERNAL QUALITY ASSESSMENTS |  | ATTAINMENT LEVEL   |  |  |  |
|---|--|--|--|--|--|
|   | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE   | 5. EXCELLENT   |
| a)  | No Customer insight approaches into CIP are used.  | Occasionally mystery shopper activities to examine the quality of CIP are undertaken by the RDO's own staff as opportunities present but there is no formal programme or training.   | The RDO identifies and provides training for nominated people who can provide frontline mystery shopping information in real time. A Formal Programme of Mystery Shopper activity to examine the quality of CIP is deployed at least each quarter to sample the customer experience. The results are reviewed by a nominated group each quarter.                                   | The RDO identifies and provides training for nominated people who can provide frontline mystery shopping information in real time. A Formal Programme of Mystery Shopper to examine the quality of CIP activity is deployed to sample the customer experience at least monthly and the results are reviewed by the Executive Team at least monthly.  | The RDO identifies and provides training for nominated people who can provide frontline mystery shopping information in real time. A Formal Programme of Mystery Shopper to examine the quality of CIP activity is deployed to sample the customer experience at least monthly and the results are reviewed by the Executive Team at least monthly. The RDO tailors the mystery shopper activities to its customer segmentation profile. The data is evaluated using analysis tools.   |
| b)  | The RDO does not identify and monitor any customer touchpoints.                          | Touchpoints have been identified and are monitored by the RDO, but these only cover customer service and do not specifically focus on CIP.   | The RDO targets all Touchpoints identified by the Customer research as below standard for closer attention during major disruptive events above a specified threshold. These address the main components of the CIP arrangements.  | The RDO targets all Touchpoints identified by the Customer research as below standard for closer attention during all disruptive events. These address all the key components of the CIP arrangements. Use is made of internal resources and trained customer advocates. Where necessary special measures are implemented.   | The RDO targets all Touchpoints identified by the Customer research as below standard for closer attention during all disruptive events. These explicitly address all the key components of the CIP arrangements. Use is made of internal resources and trained customer advocates. Where necessary special measures are implemented and maintained until delivered outcomes are within acceptable limits.   |
| c)  | The RDO does not have any arrangements for identifying good practice in other companies. | The RDO reviews information provision in other GB Mainline Rail companies and undertakings in order to identify good practice. Domestic cross-company visits to exchange ideas and seek innovation are occasionally undertaken in order to identify learning across every aspect covered by the CIM. | The RDO reviews information provision in GB Mainline Rail companies in order to identify good practice. A network of information quality partners has been developed that is used for exchanging good practice. Domestic cross-company visits to exchange ideas and seek innovation are regularly undertaken in order to identify learning across every aspect covered by the CIM. | The RDO reviews information provision in all GB Mainline Rail and metro companies and external companies and undertakings in order to identify good practice. A network of information quality partners has been developed that is used for exchanging good practice. Domestic and international cross-company visits to exchange ideas and seek innovation are regularly undertaken in order to identify learning across every aspect covered by the CIM. | The RDO reviews information provision in external companies and undertakings in order to identify good practice. A network of internal and external information quality partners (including all GB Mainline Rail and Metro companies) has been developed that is used for exchanging good practice. Domestic and international cross-company visits to exchange ideas and seek innovation are regularly undertaken (Including non-rail and non-travel companies) in order to identify learning across every aspect covered by the CIM. |

## Element 7.3 - Independent Quality Assessments

### Element Scope - Independent Quality Assessments

External Quality Assessments will:

- Make positive use of Customer complaints and external feedback (e.g. Media/press coverage)
- Review information provision in comparable GB Mainline Rail and external companies and undertakings in order to identify good practice
- Include the identification and evaluation of potential improvements provided by new technologies and innovation

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 7.3 - INDEPENDENT QUALITY ASSESSMENTS |  | ATTAINMENT LEVEL   |  |   |   |
|---|--|--|--|---|---|
|   | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)  | No independent quality assessments are commissioned or supported.                          | External press/media comments are used positively and challenged when appropriate but no independent quality assessments are commissioned.                               | External press/media comments are used positively and challenged when appropriate. External mystery shopper, benchmarking and review groups are used to identify good practice and drive-up CIP quality. | External press/media comments are used positively and challenged when appropriate and External mystery shopper, benchmarking and review groups are used to identify good practice and drive-up CIP quality. Mystery shopping in other rail undertakings is used to identify and/or confirm good transferable practice.                    | External press/media comments are used positively and challenged when appropriate and external mystery shopper, benchmarking and review groups are used to identify good practice and drive-up CIP quality. Mystery shopping in other undertakings (rail and non-rail) is used to identify and/or confirm good transferable practice.   |
| b)  | The RDO's leaders do not actively seek out learning about CIP excellence in other sectors. | The RDO's leaders occasionally and independently seek out learning about CIP excellence in other sectors in response identified negative issues within GB Mainline Rail. | The RDO's Leaders routinely seek out learning about excellence in CIP in other transport sectors to challenge their CIP arrangements for example through networking and membership of groups.            | The RDO's Leaders routinely seek out learning about excellence in CIP in other sectors to challenge their CIP arrangements for example through networking and membership of groups that also include non-rail companies. This aspect is part of an agreed RDG Board sponsored programme that has been established for at least 12 months. | The RDO's Leaders routinely seek out learning about excellence in CIP in other sectors to challenge their CIP arrangements for example through networking and membership of groups that also include non-rail companies. This aspect is part of an agreed RDG Board sponsored programme that has been established for at least 3 years. |
| c)  | There is no evidence of any active identification or adoption of innovative technologies.  | There is some evidence of limited identification of proven technologies but structured assessment and/or adoption is rare.   | The search for innovation is demonstrated by the structured identification, assessment, and occasional adoption of proven technologies.  | The search for innovation is demonstrated by the structured identification, assessment, and frequent adoption of new technologies.  | The search for innovation is visibly demonstrated by the structured identification, assessment, and industry leading adoption of new technologies.  |



## **Element 7.4 - Structured Incident Reviews (Incident/information)**

### **Element Scope - Structured Incident Reviews (Incident/information)**

**Structured Incident Reviews (Incident/Information) will:**

- **Be undertaken using a systematic review methodology and be conducted and concluded within strict specified timescales**
- **Give the same weight to customer information provision & customer-centric issues as operational considerations**
- **Identify learning that will be shared with other relevant partners and companies as a matter of routine**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 7.4 - STRUCTURED INCIDENT REVIEWS (INCIDENT/INFORMATION) |   | ATTAINMENT LEVEL  |  |   |   |
|--|---|---|--|---|---|
|  | 1. AD HOC   | 2. MANAGED  | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)   | There is no process for examining CIP arrangements as part of incident reviews. | Structured incident reviews are held for some incidents above a defined threshold and CIP arrangements form part of the scope. However this aspect is not given priority. | Structured incident reviews are held for most incidents above a defined threshold and CIP arrangements are mandated to be given equal priority with operational aspects. The outcomes are used to adjust CIP arrangements. | Structured incident reviews are held for all incidents above a defined threshold and CIP arrangements are given equal priority with operational aspects. The relevant outcomes are used to adjust CIP arrangements and an Executive Member leads the implementation of these. | In addition to structured incident reviews held for all incidents above a defined threshold to which CIP arrangements are given equal priority with operational aspects. The RDO also examines lessons from other transport providers' CIP arrangements applied to major incidents. The relevant outcomes from all sources are used to adjust CIP arrangements and an Executive Member leads the implementation of these. |
| b)   | There is no process to give post-incident CIP feedback to staff.                | CIP feedback from reviews is provided informally to key staff involved in the incident.   | Feedback from reviews (both positive & negative) is provided formally to all staff with direct and indirect CIP roles not only those involved in the specific incident.  | Feedback from reviews (both positive & negative) is provided formally and promptly to all staff with direct and indirect CIP roles, not only those involved in the incident. Feedback is also used to adjust formal training and assessment programmes.                       | Feedback from reviews (both positive & negative) is provided formally and promptly to all staff with direct and indirect CIP roles, not only those involved in the incident. Feedback is also used to adjust formal training and assessment programmes, and to adjust review arrangements and mystery shopper sampling arrangements. It is also shared with other relevant partners and companies.                        |

## **Element 7.5 - Independent Research Reports**

### **Element Scope - Independent Research Reports**

**Independent Research Reports will:**

- **Be used to identify areas for attention within every aspect of customer information provision**
- **Provide an independent perspective on customer information provision from knowledgeable transport specialists and consumer groups**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 7.5 - INDEPENDENT RESEARCH REPORTS |   | ATTAINMENT LEVEL  |  |   |   |
|--|---|---|--|---|---|
|  | 1. AD HOC                               | 2. MANAGED  | 3. STANDARDISED  | 4. PREDICTABLE  | 5. EXCELLENT  |
| a)   | No use is made of independent research. | Publicly available high profile independent research is occasionally reviewed. The outcomes from such reviews may be used informally to adjust CIP but there no evidence of tracking to a conclusion. | Publicly available independent research is sought out and reviewed though this is not tailored to/commissioned by the RDO. The outcomes from such reviews are used formally to adjust CIP and actions tracked to conclusion. | The RDO commissions independent research reports tailored to its specific role at least annually to help drive improvements in CIP. Independent reports are combined with information from other CIP quality measures and used formally to adjust CIP. Actions are tracked to conclusion. | The RDO commissions independent research reports tailored to its specific role at least annually to help drive improvements in CIP. Independent reports are combined with information from other CIP quality measures and used formally to adjust CIP. Actions are tracked to conclusion. Reports are always reviewed in a structured manner and formally discussed by the designated RDO Executive and CIP champion. |

## **Element 7.6 - CIM Assessments**

### **Element Scope - CIM Assessments**

**Element: CIM Assessments will:**

- **Drive pan-industry continuous improvement in CIP in a structured, integrated, and collaborative way**
- **Ensure that all customer information provision arrangements are regularly assessed and validated using a standard industry methodology**
- **Be independently calibrated, validated and benchmarked during the first year of use and undertaken in accordance with a programme agreed with the ORR**
- **Enable structured learning to be routinely shared throughout GB Mainline Rail**

## CIM PILOT Schedule 1 Assessment Criteria – Issue 2

| ELEMENT 7.6 - CIM ASSESSMENTS |  | ATTAINMENT LEVEL   |   |  |   |
|-------------------------------|--|--|---|--|---|
|                               | 1. AD HOC  | 2. MANAGED   | 3. STANDARDISED   | 4. PREDICTABLE   | 5. EXCELLENT  |
| a)                            | No initial benchmarking and calibration has been undertaken.<br>The RDO does not have any arrangements in place for undertaking any systematic internal or external assessments of CIP arrangements. | Initial benchmarking and calibration has been undertaken. The RDO has undertaken at least 1 assessment using this CIM but has no process prioritising areas for improvement for setting targets. | Initial benchmarking and calibration has been undertaken. The RDO undertakes assessments using this CIM at least annually and has a formal process for prioritising areas for improvement and setting targets.<br><br>Note: Can only be achieved when 2 <sup>nd</sup> assessment has been undertaken. | Initial benchmarking and calibration has been undertaken. The RDO undertakes assessments using this CIM at least annually and has a formal process for prioritising areas for improvement, allocating funding, developing an action plan, and setting targets. The CIP arrangements have also undergone a full assessment using this CIM within the last year by an unrelated RDO. | Initial benchmarking and calibration has been undertaken. The RDO undertakes assessments using this CIM at least annually and has a formal process for prioritising areas for improvement, allocating funding, developing an action plan, and setting targets. The CIP arrangements have also undergone a full external assessment using this CIM within the last year by recognised independent assessors. |
| b)                            | No trends in the deployed measures have been identified or acted upon.   | CIP arrangement trends are measured but these show no consistent improvements or evidence of managerial interventions.   | Continuous improvement in CIP arrangements is evident against the majority of measures and driven through the application of a structured approach focussed on the areas which have been prioritised for improvement.   | Continuous improvement in CIP arrangements is evident across all measures and is driven through the application of a structured approach focussed on the areas which have been prioritised for improvement. Progress with the action plans is tracked by the CIP Champion.   | Continuous improvement in CIP arrangements is evident across all measures and is driven through the application of a structured approach focussed on the areas which have been prioritised for improvement. Progress against priorities for action are reviewed by the RDO's Executive and CIP champion.  |
| c)                            | Results from CIM Assessments in other RDO GB Mainline Rail companies are not used.   | Results from available RDO CIM Assessments are being shared throughout GB Mainline Rail and used to drive some improvements in CIP delivery.   | Results from available RDO CIM Assessments have been shared throughout GB Mainline Rail for at least 1 year and used to drive continuous improvement in CIP delivery.   | Results from all RDO CIM Assessments have been shared throughout GB Mainline Rail for at least 2 years and used to drive continuous improvement in CIP delivery.   | Results from all RDO CIM Assessments have been shared throughout GB Mainline Rail for at least 3 years and used to drive continuous improvement in CIP delivery. Customer results confirm the positive effects and are used to modify the process in order to meet customer needs.  |