

## Operations Protocol

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## 1.0 GENERAL MATTERS

### 1.1 Preamble

This Operations Protocol is a schedule to and forms part of the agreements between:

- a) RIC and SRA and
- b) RIC and each Rail Operator.

The contractual accountabilities of each party are defined in the agreement it has with other parties.

Compliance with this Operations Protocol (other than the Train Decision Factors) will be required on and from 15 December 2001. Full compliance with the Train Decision Factors will not be required until the completion of relevant training and systems for Train Controllers on or before 1 April 2002.

### 1.2 Scope of Operations Protocol

This Operations Protocol describes the day-to-day management of the interfaces between:

- a) RIC and SRA;
- b) RIC and a Rail Operator; and
- c) SRA and a Rail Operator;

as they affect the delivery of Train Planning, Train Programming and Train Control services. A list of contact points and telephone numbers is provided in Annexure 3 to facilitate the communication between parties at an operational level.

The Operations Protocol includes a description of the following processes:

- Standard Working Timetable (SWTT) generation;
- Amendments to the SWTT via Special Train Notices (STNs) and GM Telegrams, due to Train Paths Applications from Rail Operators;
- Daily Train Plan preparation; and
- the exercise of real-time Train Control, including the description and application of Train Decision Factors (TDF) in section 6.0 of this Operations Protocol as amended from time to time.

Rail Operators will seek permanent alterations to their Train Path entitlements when a new SWTT is being generated or in the intervening period, via a STN. They will seek via the Daily Train Plan (DTP), one-off variations to their allocated Train Paths and access to specific Train Paths that are not already allocated to a Rail Operator.

### 1.3 Definitions

For the purposes of this Operations Protocol, the following terms are defined to mean:

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**Access Agreement** means an agreement between RIC and a Rail Operator for the provision of access to the Network;

**AMBA Report** means the list prepared by SRA Train Programming, of freight and long-distance passenger services scheduled to run in the 48 hours commencing at 00:01 following the time when the list is first issued, incorporating confirmed Train Paths from the SWTT as well as additions and alterations to these services;

**Commuter Peak Services** means those Rail Passenger Services arriving at Central Station or Newcastle Station between 0600 and 0900 hours and departing Central Station or Newcastle Station between 1600 and 1800 hours and continuing until they reach their destination point;

**Daily Train Plan**, means the documents comprising all of the advices which are prepared for each day in accordance with this Operations Protocol by SRA Train Programming and which, taken together, show all of the Train Paths on the Network for that day;

**Express Freight Services** means those freight services capable of maintaining Schedule A or B sectional running times as specified in the Train Operating Conditions Manual; or that are determined by SRA Train Control to operate at faster sectional times than local frequent-stopping Rail Passenger Services;

**Frequent-Stopping Services** means those Rail Passenger Services that stop at most or all stations along their Train Path;

**GM Telegrams** means the advice of changes to the SWTT published by SRA Train Planning when there is not sufficient time to permit all concerned being advised of those changes through a STN;

**Healthy Train** means a train that, having regard to the Daily Train Plan applicable on the day:

- a) presents to the Network on time, is configured to operate to its schedule and operates in a way that it remains able to maintain its schedule; or
- b) is running late only due to causes within New South Wales, but only where the root cause is outside the Rail Operator's control; or
- c) is running on time, regardless of previous delays;

**Incident** has the meaning given to that term in the Network Incident Management Manual;

**Limited-Stop Services** means those Rail Passenger Services that stop at a few selected stations along their Train Path;

**Long-distance Passenger Services** means those Rail Passenger Services operating to or from points outside the Metropolitan Commuter Region;

**Metropolitan Commuter Region or MCR** means is that area of the Network bounded by Newcastle, Lithgow, Moss Vale and Kiama;

**Metropolitan Region** means that part of the Rail Network which includes:

- a) the freight Network and the CityRail suburban Network bounded by Cowan (in the north), Emu Plains (in the west), Macarthur (in the southwest) and Waterfall (in the south); and

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- b) the Network between:
- (i) Sydney and Newcastle (main lines);
  - (ii) Sydney and Goulburn;
  - (iii) Goulburn and Canberra;
  - (iv) Queanbeyan and Harman;
  - (v) Sydney and Wallerawang (exclusive);
  - (vi) Wallerawang and Mudgee (exclusive);
  - (vii) Sydney and Bomaderry;
  - (viii) Wollongong and Port Kembla;
  - (ix) Coniston and Inner Harbour;
  - (x) Picton and Colo Vale;
  - (xi) Mittagong and Braemar;
  - (xii) Unanderra and Moss Vale;
- and all connecting lines and sidings within these areas;

**Network** means the railway lines vested in or owned or exclusively controlled by RIC (including passing loops and turnouts from those lines and loops and associated Rail Infrastructure Facilities that are so vested, owned or exclusively controlled);

**Network Control** has the meaning given to that term in section 19FB of the Transport Administration Act 1988 (and includes Train Planning, Train Programming and Train Control);

**Network Incident Management Manual** means the incident management manual developed by RIC as amended from time to time;

**Network Possessions Manual** means RIC's manual for managing Track Possessions as amended from time to time;

**Network Segment** means a discrete part of the Network;

**Non-Revenue Positioning Movements** means movements of Trains required for reasons other than revenue services;

**Non-Standard Working** means the movement of rolling stock on the Network under conditions which are not covered by existing standards, rules or regulations;

**Passenger Rail Operator** means a Rail Operator providing Rail Passenger Service (s);

**Peak Positioning Movements** means movements of Trains required for Commuter Peak Services;

**Rail Infrastructure Facilities:**

- (a) includes railway track, associated track structures, over track structures, cuttings, drainage works, track support earthworks and fences, tunnels, bridges, level crossings, service roads, signalling systems, Train Control systems, communication systems, overhead power supply systems, power and communication cables and associated works, buildings, plant, machinery and vested in, owned or exclusively controlled by RIC; but
- (b) does not include any stations, platforms, rolling stock maintenance facilities, office buildings or housing, freight centres or depots, private sidings and spur

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lines connected to premises whether or not vested in, owned or exclusively controlled by RIC;

**Rail Operations** means the operation or moving, by any means, of any Rolling Stock on the Network;

**Rail Operator** means any person conducting Rail Operations;

**Rail Passenger Service** means a service for the carriage of passengers on Trains on the Network;

**RIC** means Rail Infrastructure Corporation;

**Rova Mech Authority** means a written waiver of Rolling Stock operational standards (as described in the Train Operating Conditions Manual) issued by RIC, accompanied by a unique registration number and containing technical instructions authorising operations personnel to perform Non-Standard Working;

**Special Event** means the Sydney Royal Easter Show, a major sporting event, a major cultural event or any other similar event which is identified as such and may require:

- (a) a special timetable for the operation of Rail Passenger Services for the use and benefit of the general public; and
- (b) consequential adjustments to the Operator's Rail Operations;

**Special Train Notice or STN** means a notice issued by SRA Train Planning from time to time setting out changes to the SWTT;

**SRA** means State Rail Authority;

**SRA Train Control** means the persons within SRA exercising Train Control services on the Network;

**SRA Train Planning** means the persons within SRA delivering Train Planning services;

**SRA Train Programming** means the persons within SRA Train Control delivering Train Programming services;

**Standard Working Timetable or SWTT** means the timetable detailing all Train Paths available on the Network for all Rail Operators and other users of the Network, as updated from time to time in accordance with this Operations Protocol;

**Track** means the rails, ballast, sleepers and all items used to fix the rails to the sleepers and to the ground underneath;

**Track Possession** means the temporary closure of a Network Segment by RIC for the purposes of carrying out work on the Network or on Rail Infrastructure Facilities;

**Train** means a single unit of Rolling Stock or two or more units of Rolling Stock including a locomotive or other self propelled unit coupled together to operate on the Track as a single unit;

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**Train Consist or Train Manifest** means in respect of each of the Operator's Train Movements, an advice including the details and format specified in Annexure 2 of this Operations Protocol;

**Train Control** means the control and regulation of all Rail Operations (including Train Movements, movements of Rolling Stock and track maintenance vehicles) to ensure the safe efficient and proper operation of the Network;

**Train Control Direction** means an instruction or direction relating to Train Control;

**Train Movement** means a particular trip by a Train on a Train Path;

**Train Operating Conditions** mean the operating requirements and conditions applicable to each Train (and each unit of Rolling Stock comprised in that Train) that must be observed in order to entitle a Rail Operator to make a Train Movement on the Network using that Train, as set out in the Train Operating Conditions Manual;

**Train Operating Conditions Manual** means a manual developed by RIC which contains the Train Operating Conditions and includes any waiver of any standards applicable to any Rolling Stock contained in, and authorised by, an advice or communication issued by RIC to the Operator and other users of the Network and entitled a Rova Mech Authority;

**Train Path** means the series of Network Segments over a particular time interval through which a Train can travel and may include stopping points and intervals and fuelling stations and other set down or changeover points;

**Train Path Application** means the details relating to a request for new or varied Train Path as described in the form set out in Annexure 1 of this Operations Protocol;

**Train Planning** means the development of Standard Working Timetable and its amendment through Special Train Notices and GM Telegrams;

**Train Programming** means the development of the Daily Train Plan for the sectional train control boards, incorporating the pathing of freight trains and associated requirements as well as Track Possessions.

## 2.0 STANDARD WORKING TIMETABLE (PASSENGER & FREIGHT)

### 2.1 Overview of Process

There exists a Standard Working Timetable that can be obtained from RIC.

From time to time RIC or SRA will initiate the process for a new SWTT to be developed, having regard to the access rights of Rail Operators as defined in their Access Agreements; long-term Track Possession requirements; the Network capacity and operating restrictions; and RIC's Rail Infrastructure Facilities configuration.

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The SWTT is normally reviewed and amended to coincide with significant infrastructure alterations or Train Path Applications for changes that might not be readily managed through the STN process described in Section 3.0 of this Operations Protocol.

## 2.2 Inputs to Process

The inputs to the SWTT generation process, in no particular order of priority, are:

- previous SWTT;
- Train Operating Conditions Manual;
- Rail Operator's entitlements to Train Paths as specified in their Access Agreements;
- Train Path Applications from Rail Operators for alterations, deletions and additions to their Train Paths entitlements;
- long-term Track Possessions which RIC requires to be implemented in accordance with the Network Possessions Manual;
- requests from RIC for amendments to the SWTT, for any reason including for reasons that RIC:
  - a) has identified potential new Train Paths; and
  - b) wishes to re-configure existing Train Paths to optimise the use and reliability of the Network;
- legislative requirement for passenger priority; and
- Rail Infrastructure Facilities configuration.

## 2.3 Roles and Responsibilities

The roles of the various parties involved in the generation of a SWTT are defined as follows:

### **Rail Operator**

- submits to General Manager Access at RIC Train Path Applications for additions, deletions and alterations it requires to its access rights; and
- consults with RIC in relation to its Train Path Applications.

### **RIC**

- receives and reviews Train Path Applications from Rail Operators which will be an input into the new SWTT;

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- defines its requirements to SRA Train Planning for potential Train Paths and for optimising the use and reliability of the Network;
- provides details of long-term Track Possessions to be incorporated into the SWTT in accordance with the Network Possessions Manual;
- co-ordinates and facilitates liaison, where appropriate, between all parties involved or affected by the preparation of the SWTT, including other rail systems connecting to the Network;
- in conjunction with SRA Train Planning evaluates Train Path Applications from Rail Operators;
- accepts or rejects Train Path Applications, subject to:
  - the requirements of the Transport Administration Act 1988 for priority to be given to Access for Rail Passenger Services and the impact on those services being manageable and acceptable;
  - the availability of capacity on the Network;
  - the reliability of the Network; and
  - the bona fide requirements of other users and prospective users of the Network;
- considers representations from Rail Operators on the extent to which the draft SWTT meets the requirements defined in their Access Agreements; and to resolve difficulties in meeting those requirements (including the operative date of a new SWTT); subject to the confidentiality of information pertaining to all parties;
- agrees with SRA Train Planning the date upon which the SWTT becomes operational;
- reviews and approves the SWTT outside the Metropolitan Region; while inside the Metropolitan Region, it endorses that the SWTT meets the requirements stated in Access Agreements; and
- advises SRA Train Planning of the current distribution list for the SWTT.

### **SRA Train Planning**

- prepares the SWTT from approved inputs;
- in conjunction with RIC evaluates Train Path Applications of Rail Operators and RIC's requirements;
- provides for all pre-existing non-SRA Train Paths within the new SWTT, unless otherwise notified of a request for an amendment to those Train Paths and consults with RIC as soon as it becomes aware that any required pre-existing non-SRA Train Paths are adversely affected by other requirements;

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- liaises with RIC to confirm that RIC's and the Rail Operators' requests and requirements have been provided for as far as reasonably possible; and
- distributes the new SWTT, including associated Train Control graphs and associated documentation for implementation.

### **2.4 Communications Timeframes**

The process of generating a SWTT varies in complexity depending on the scope of the Train Paths to be re-configured. The timeframes for the generation of the SWTT will vary accordingly. Where the SWTT re-write incorporates Commuter Peak Services, it is referred to in this Operations Protocol as a Major SWTT Preparation. Where the SWTT excludes Commuter Peak Services, it is referred to as Minor SWTT Preparation.

Parties will use their reasonable endeavours to meet the following target communications timeframes in the generation of a SWTT:

#### **Major SWTT Preparation (involving Commuter Peak Services)**

- RIC will advise Rail Operators of the intent to prepare a new SWTT 12 months prior to its planned implementation
- Passenger Rail Operators will submit Train Path Applications for additions, deletions and alterations, to RIC ten and a half (10.5) months prior to the planned implementation of the SWTT.
- RIC will communicate all timetable input details to SRA Train Planning ten (10) months prior to the planned implementation.
- Freight Rail Operators will submit Train Path Applications for additions, deletions and alterations, to RIC six and a half (6.5) months prior to the planned implementation of the SWTT.
- RIC will communicate freight timetable input details to SRA Train Planning six (6) months prior to the planned implementation.
- Passenger Rail Operators providing long-distance services (i.e., inter-city and inter-capital services) will receive the draft of their Train Paths five (5) months before implementation to allow adequate time for the promotion of those services, subject to the impact of the freight timetable input details received from RIC.
- SRA Train Planning will communicate the draft SWTT to RIC and Rail Operators three (3) months prior to implementation.
- Following the distribution of the draft SWTT, RIC will consider representations from Rail Operators to resolve outstanding difficulties in meeting their stated requirements; and seek their confirmation of the suitability of their allocated Train Paths.
- RIC will advise the outcome of the Rail Operator's requests two (2) months prior to implementation.

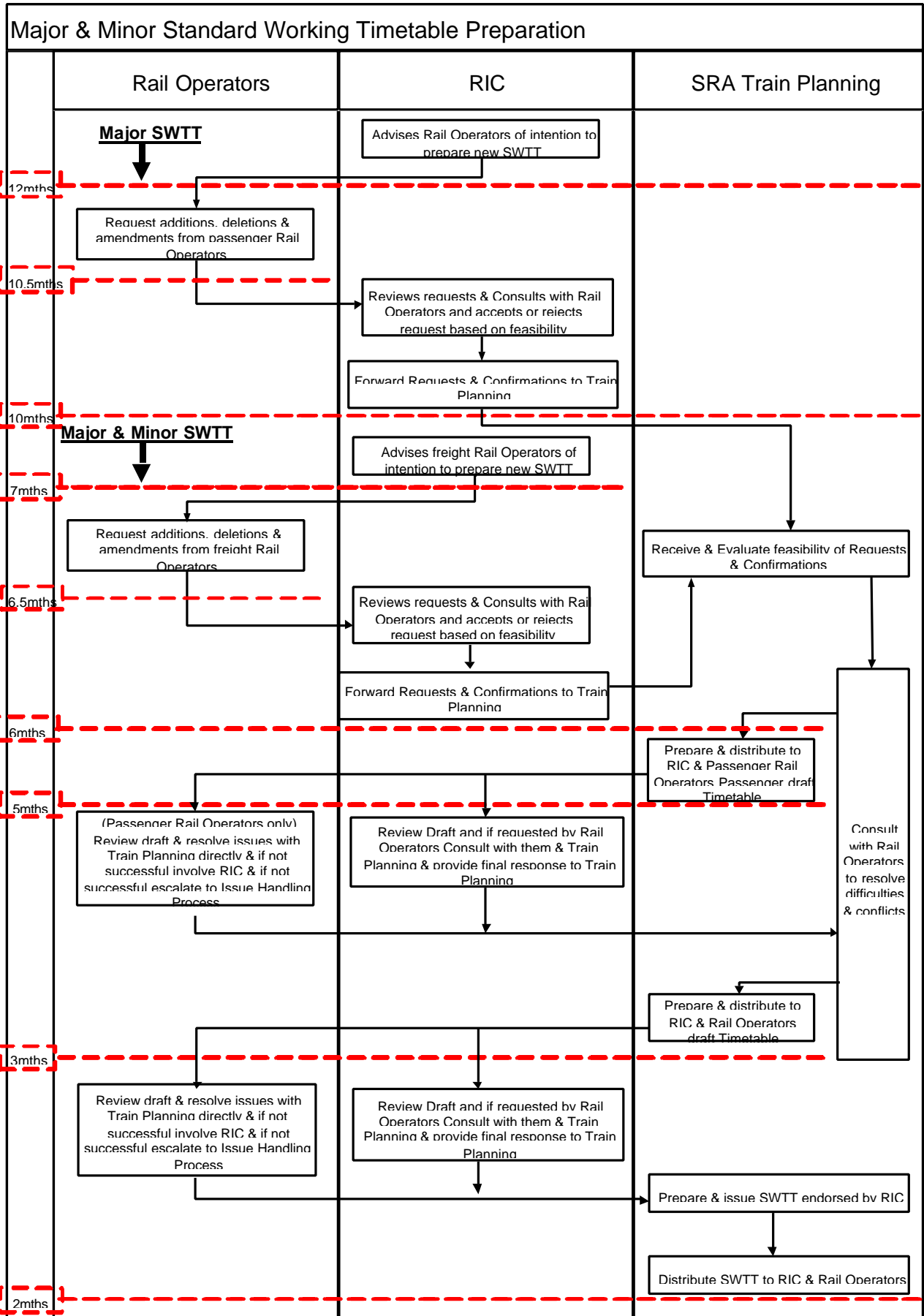
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### Minor SWTT Preparation (Excluding Commuter Peak Services)

- RIC will advise Rail Operators of the intent to prepare a new SWTT seven and a half (7.5) months prior to its planned implementation.
- Rail Operators will submit Train Path Applications for additions, deletions and alterations to RIC six and a half (6.5) months prior to the planned implementation of the SWTT.
- RIC will communicate all timetable input details to SRA Train Planning six (6) months prior to the planned implementation.
- SRA Train Planning will communicate the draft SWTT to RIC and Rail Operators three (3) months prior to implementation. Following the distribution of the draft SWTT, RIC will consider representations from Rail Operators to resolve outstanding difficulties in meeting their stated requirements; and seek their confirmation of the suitability of their allocated Train Paths.
- RIC will advise the outcome of the Rail Operator's requests two (2) months prior to implementation.
- Where the level of complexity of requests leading to the development of a new SWTT are such that the above times can be reduced, SRA Train Planning will advise RIC of the timeframe for the preparation of the SWTT.
- RIC will in turn advise Rail Operators of the potential availability of the SWTT earlier than expected.

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The timeframes above are reflected in the flowchart below



## **2.5 Output of SWTT Generation Process**

The output is a SWTT covering all Rail Operators' scheduled Train Paths.

## **2.6 Issue Handling**

Issues which a Rail Operator has in relation to the SWTT that are not resolved through the processes referred to above will be addressed in accordance with the Access Agreement between RIC and the Rail Operator. Issues between SRA and RIC will be dealt with in accordance with the Network Control Agreement.

# **3.0 ALTERATIONS TO THE SWTT**

## **3.1 Overview of Process**

Under this process, additions, deletions and alterations to the Train Paths described in the SWTT are made to accommodate Track Possessions, Special Events and Train Path Applications from Rail Operators and are advised by issue of Special Train Notices or GM Telegrams. These may be permanent or temporary amendments to the SWTT. The normal process for alterations to the SWTT is a STN. GM Telegrams are only issued when there is not sufficient time to permit all concerned being notified of those changes through a STN.

Note: The process dealing with the amendments of SWTT to accommodate Track Possessions (and the issue of STNs and GM Telegrams for this purpose), is covered in the Network Possessions Manual and not in this Operations Protocol.

## **3.2 Inputs to Process**

The inputs to the process of alterations to the SWTT through a STN or GM Telegram, in no particular order of priority, are:

- The current SWTT;
- Train Operating Conditions Manual;
- Rail Operators' entitlements to Train Paths as specified in their Access Agreements;
- Train Path Applications from Rail Operators for additions, deletions and alterations to previously allocated Train Paths;
- Requests from RIC for amendments to the SWTT for any reason, including for reasons that RIC:
  - a) has identified potential new Train Paths; and

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b) wishes to re-configure existing Train Paths to optimise the use and reliability of the Network;

- legislative requirement for passenger priority;
- Monthly list of Special Events prepared by SRA Train Planning;
- Rail Infrastructure Facilities configuration; and
- Existing or planned STNs.

### **3.3 Roles and Responsibilities**

The roles of the various parties involved in alterations to the SWTT through the issue of Special Train Notices and GM Telegrams are defined as follows:

#### **Rail Operator**

- submits to General Manager Access at RIC Train Path Applications for additions, deletions or alterations to its entitlements;
- notifies RIC promptly in writing, where it believes that its Rail Operations may be affected by a Special Event;
- consults with RIC in relation to its request(s); and
- confirms in its consultation with RIC and SRA Train Planning that the proposed Train Paths meet its requirements.

#### **RIC**

- receives Train Path Applications from Rail Operators which will be the proposed basis for the STN or GM Telegram;
- defines its requirements to SRA Train Planning for potential Train Paths and for optimising the use and reliability of the Network;
- evaluates Train Path Applications in conjunction with SRA Train Planning;
- accepts or rejects Train Path Applications, subject to:
  - the requirements of the Transport Administration Act 1988 for priority to be given to Access for Rail Passenger Services and the impact on those services being manageable and acceptable;
  - the availability of capacity on the Network;
  - the reliability of the Network; and
  - the bona fide requirements of other users and prospective users of the Network;

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- considers representations from Rail Operators and other relevant parties on the extent to which the draft STNs meet their requirements and resolves difficulties in meeting those requirements;
- advises the likely operative date of the new STNs;
- obtains a list of Special Events from SRA intranet;
- notifies Rail Operators of all known Special Events and changes to Special Events previously notified, that may impact on Train Movements on the Network and lead to amendments to the SWTT;
- co-ordinates and facilitates liaison, where appropriate, with all parties involved in or affected by an amendment to the SWTT leading to the preparation of an STN or GM Telegram, including other rail systems connecting to the Network;
- agrees with SRA Train Planning the date upon which the STN takes effect;
- reviews and approves the STN or GM Telegram outside the Metropolitan Region; while inside the Metropolitan Region, it endorses that the STN or GM Telegram meets the requirements stated in Access Agreements; and
- advises SRA Train Planning of the current distribution list for STNs.

### **SRA Train Planning**

- produces STNs and GM Telegrams from approved inputs;
- evaluates in conjunction with RIC, Rail Operators' Train Path Applications and RIC's requirements;
- consults with RIC in the event of a difficulty in fulfilling a request or where an STN impacts on a Rail Operator's allocated Train Paths and as far as possible resolves the difficulties;
- circulates draft STN to the relevant Rail Operator and RIC;
- seeks from Rail Operator and RIC confirmation of the suitability of the allocated Train Paths;
- prepares and continually updates a list of Special Events from its own research into upcoming events and requests from event organisers for additional Passenger Rail Services;
- publishes the list of Special Events on the SRA intranet;
- uses its reasonable endeavours to mitigate the impact of a Special Event on the Rail Operator to the extent reasonably possible (including, by using reasonable endeavours to provide the Rail Operator with an alternate Train Path as close as possible to the Train Path affected by the change);

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- advises RIC of likely time of completion of the STN that gives effect to the request; and
- distributes the new agreed STN, including where appropriate replacements pages of the SWTT.

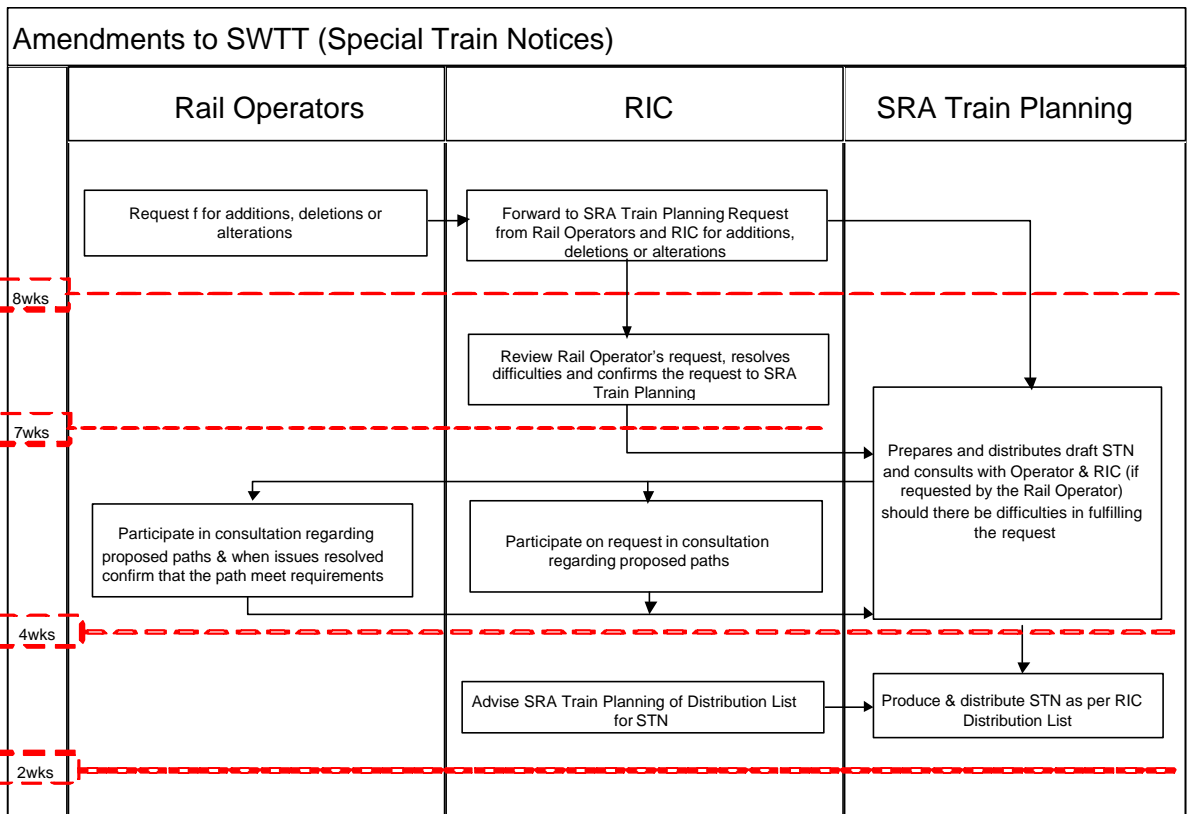
### 3.4 Communications Timeframes

Parties will use their reasonable endeavours to meet the following target communications timeframes in the generation of a STN and GM Telegram:

- SRA Train Planning continually updates the list of Special Events on the SRA intranet;
- RIC accesses the list of Special Events on the SRA intranet and in turn notifies Rail Operators on a monthly basis of all known Special Events, up to six (6) months in advance;
- Rail Operators will submit Train Path Applications for new and varied Train Paths simultaneously to RIC and SRA Train Planning no less than eight (8) weeks prior to the proposed Train operative date. Any shorter period of notice may not enable RIC and SRA Train Planning to consider and implement the request;
- RIC will immediately forward the Train Path Application to SRA Train Planning.
- RIC will review the Train Path Application and seek to resolve with Rail Operator any outstanding issues, before advising SRA Train Planning how RIC wishes the application to proceed no less than seven (7) weeks prior to the proposed Train operative date;
- SRA Train Planning will deliver draft STN no less than four (4) weeks prior to the Train operative date to RIC and the affected Rail Operators; and
- SRA Train Planning will produce the STN for the agreed service at least two (2) weeks prior to the Train operative date; and when this timeframe cannot be met, SRA Train Planning may issue a GM Telegram.

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The timeframes above are reflected in the flowchart below



## 3.5 Output of Process

The output is a STN or GM Telegram covering changes to the SWTT in accordance with this Protocol.

## 3.6 Issue Handling

Issues which Rail Operators have in relation to the STN or GM Telegram that are not resolved through the processes referred to above will be addressed in accordance with the Access Agreements between RIC and the Rail Operator. Issues between SRA and RIC will be dealt with in accordance with the Network Control Agreement between RIC and SRA.

## 4.0 DAILY TRAIN PLAN (DTP)

### 4.1 Overview of Process

For each day, the SWTT, the entitlements of Rail Operators within it and all published STNs that apply for that specific date; is amended by SRA Train Programming to form the Daily Train Plan. The DTP comprises additional emergency Track Possessions, confirmed services and any other short notice Train program alterations for that specific date.

Each day's DTP takes effect at 00:01 hours on the day and is amended as required, as described in section 5.0 of this Operations Protocol, to manage and record actual operations during the day.

## 4.2 Inputs to Process

The inputs to the process for DTP preparation, in no particular order of priority, are:

- the current SWTT;
- written confirmation by Rail Operators of those services specified in their entitlements which they intend to operate on a particular day;
- Train Path Applications for additions and alterations to approved services;
- published STNs and GM Telegrams;
- Network constraints eg planned and scheduled changes to trackwork, signalling and electrical overhead wiring etc.; and
- emergency Track Possessions for the relevant day to be implemented in accordance with the Network Possessions Manual.

## 4.3 Roles and Responsibilities

The roles of the various parties involved in the DTP production are as follows:

### **Rail Operator**

- provides written confirmation of the services that it will operate on a particular day from within its Train Paths entitlement to the appropriate contact point at SRA Train Programming as per the list in Annexure 3;
- requests in writing additional one-off Train Paths and alterations to existing entitlements, by providing information of the type specified in the Train Path Application or any information that RIC requires from time to time, to the appropriate contact point at SRA Train Programming as per the list in Annexure 3;
- reviews proposed alternative Train Paths offered by SRA Train Programming, where it is notified that its request for additional one-off Train Paths or alterations to existing entitlements cannot be accommodated, and confirms where appropriate that those alternatives are acceptable; and
- plans its Trains to operate in accordance with the Daily Train Plan.

### **RIC:**

- provides details of emergency Track Possessions made in accordance with the Network Possessions Manual.

## **SRA Train Programming**

- prepares the DTP from the approved inputs;
- uses its reasonable endeavours to ensure that all confirmed entitlements of Rail Operators are included in the Daily Train Plan; then considers, assesses and accepts or rejects requests for additional one-off Train Paths and alterations to existing entitlements by Rail Operators, subject to:
  - the requirements of the Transport Administration Act 1988 for priority to be given to Access for Rail Passenger Services and the impact on those services being manageable and acceptable;
  - the availability of capacity on the Network; and
  - the bona fide requirements of other users and potential users of the Network;
- resolves difficulties arising from requests for one-off Train Paths and alterations to existing entitlements that cannot be accommodated or conflicting requests, and in the process considers representations by Rail Operators and if requested by a Rail Operator, consults with RIC to resolve the difficulty, in a manner consistent with the Rail Operator's Access Agreement;
- confirms in writing to the relevant parties their approved requests for additional Train Paths and alterations to existing entitlements;
- co-ordinates with other rail systems connecting to the Network;
- issues the DTP for the particular 24-hour period commencing the next day at 00:01 and a provisional DTP for the subsequent 24-hour period; and
- publishes the AMBA Report on the RIC intranet and distributes it to SRA Train Control.

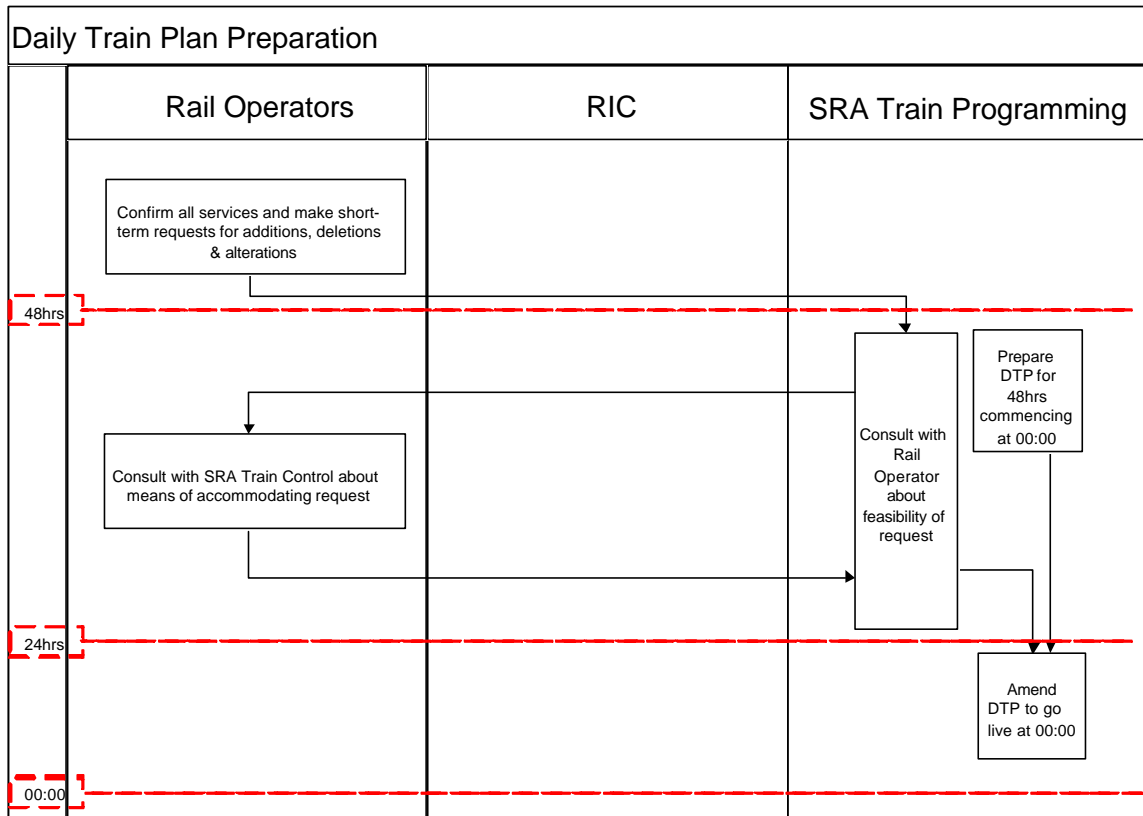
## **4.4 Communication Timeframes**

Parties will use their reasonable endeavours to achieve the following target communication timeframes in the preparation of the DTP:

- Confirmations of existing entitlements and requests for additions and alterations to them must be made at least forty-eight (48) hours prior to the DTP that covers the period relevant to the request being made going "live". Any shorter period of notice may not enable RIC and SRA Train Programming to consider and implement the requests; and
- SRA Train Programming will respond to requests for additions, and alterations 24 hours prior to the operative time.

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The timeframes above are reflected in the flowchart below.



## 4.5 Outputs of Process

The output is the DTP for a 24-hour period commencing the next day at 00:01 and a provisional DTP for the subsequent 24-hours including the AMBA Report.

## 4.7 Issue Handling

The processes described above provide for the Rail Operator to discuss changes to be incorporated in the DTP with SRA Train Programming. Final decisions in relation to Daily Train Planning are made by SRA Train Programming in accordance with this Operations Protocol.

Where a Rail Operator is not satisfied with any aspect of the preparation of the DTP, then the matter will be dealt with under the dispute resolution procedures in the Access Agreement between RIC and the Rail Operator.

## 5.0 DAILY TRAIN CONTROL (Live Program)

### 5.1 Overview of Process

The objective is to direct Trains to operate to the DTP. However, events on the day, once the Daily Train Plan goes “live”, may prevent this from happening as planned. The DTP is then amended in accordance with this Operations Protocol; to accommodate real-time delays, re-scheduling and cancellations of actual Train

Movements. The record of Train Movements during the day is the actual train graph for the 24-hour period.

## **5.2 Inputs to Process**

The inputs to the process for Daily Train Control, in no particular order of priority, are:

- approved DTP;
- Train Decision Factors in section 6.0 of this Operations Protocol;
- reports of events that will affect Train running including Incidents;
- Operational Safety Rules;
- Rail Operators' service requests; and
- emergency Track Possession requirements to be implemented in accordance with the Network Possessions Manual.

## **5.3 Roles and Responsibilities**

The roles of the various parties involved in daily Train Control are as follows:

### **Rail Operator**

- requests alterations to the DTP for Train Paths for which it holds access rights, from the appropriate SRA Train Control location as per the list in Annexure 3;
- delivers a written Train Consist in person, by fax or other form of electronic transmission agreed by RIC, for each locomotive-hauled Train Movement, to the relevant SRA Train Control location as per the list in Annexure 3;
- presents its Trains in accordance with the DTP; and
- operates Trains as per the Train Control Directions given in accordance with this Operations Protocol.

### **RIC**

- provides advice to SRA Train Control as to the condition of the Rail Infrastructure Facilities.

### **SRA Train Control**

- has duly certified personnel authorised to undertake Train Control functions on the day;
- issues Train Control Directions on the day to the Rail Operator or the Rail Operator's driver, subject always to this Operations Protocol and advice from RIC as to the condition of the Rail Infrastructure Facilities;
- uses its reasonable endeavours to mitigate the impact of disruption experienced by Rail Operators resulting from its Train Control

## OPERATIONS PROTOCOL

Directions, to the extent reasonably possible (including, by using reasonable endeavours to provide an affected Rail Operator with an alternate Train Path as close as possible to the Train Path affected by the change);

- makes alterations to the “live program”, including cancellations, re-routing or re-scheduling Trains or imposing any other operating restrictions or exercising other rights, in consultation with Rail Operators and in accordance with the Train Decision Factors in section 6.0 of this Operations Protocol, and in the process considers representations by Rail Operators in relation to the impact of those alterations on their Train Paths;
- advises Rail Operators of the outcomes of their requests for alterations;
- communicates with Rail Operators in the manner defined in the Network Incident Management Manual, where Train Control Directions involve changes to a Rail Operator’s service resulting from an Incident;
- may stop, delay or cancel a Train Movement, where the Rail Operator has not complied with the requirements for a Train Consist; but before doing so, uses its reasonable endeavours to ensure that the Rail Operator is advised of the non-compliance and given a reasonable opportunity to comply; and
- records all information on the running of Trains, including details of operations against timetable and any Incidents and consequential delays affecting the performance of Rail Operators and the Network.

### 5.4 Communications Timeframes

The following minimum communications timeframes are required in the undertaking of daily Train Control:

- Rail Operator requests changes to the DTP eight (8) hours prior to the operative time;
- SRA Train Control advises Rail Operators as soon as possible of the outcome of their requests for alterations;
- Rail Operator delivers the Train Consist to the relevant SRA Train Control 30 minutes prior to the departure of the Train and if there are changes to the Train Consist along the route, to provide a revised Train Consist prior to departing the point where the change occurred, or where the available technology is such that it is not possible to comply with this requirement:
  - a) to the extent that telephone or radio facilities are available, advise the relevant SRA Train Control, by telephone or radio, of the details required (points a, b, c, d, e, f, g, h, j of Annexure 2); and where Dangerous Goods are being carried on a Train, the vehicle number and classification of each vehicle on which Dangerous

## OPERATIONS PROTOCOL

Goods are being carried, together with the class and quantity of Dangerous Goods carried on the vehicle; and

- b) in any case, provide a complete and accurate written Train Control Directions to the relevant SRA Train Control location for the next scheduled stop at which appropriate technology for the sending of written communications is available.

### **5.5 Outputs of Process**

The outputs of the process for daily Train Control are:

- co-ordination of Train Movements on the Network;
- Train Control Directions; and
- data relating to Train Movements for the day, any Incidents, any variance to the DTP and consequential delays, including all supporting information such as supervisor, driver and guard reports, telegrams, train graphs and block sheets.

### **5.6 Issues Handling**

On a day-to-day basis, a Rail Operator may discuss daily Train Movements with SRA Train Control. Final decisions in relation to daily Train Control Directions lie with SRA Train Control and are made in accordance with this Operations Protocol.

Rail Operators may make representations for changes to the procedures for the implementation of the “live program” to RIC which it will consider and review with all affected parties.

Any disagreements on actions taken on the day or in relation to the procedures used will be reviewed in accordance with the Rail Operator’s Access Agreement.

**6.0 TRAIN DECISION FACTORS -**

SRA Train Control issues Train Control Directions on a day to day basis, for resolving conflicts where two or more trains require conflicting Train Paths, in accordance with this Operations Protocol.

**Where Trains are on-time**, they will be managed as specified in the Daily Train Plan (DTP).

**Where one or more Trains are late or unhealthy**, they will be managed as specified in the matrices below subject to a Rail Operator’s preferences for its own services.

The two tables are used in conjunction with each other. Table 1 will enable SRA Train Control to define the relative priority of two conflicting Trains. Table 2 will specify the type of decision available to SRA Train Control in delivering Train Control Directions to resolve the potential conflict.

**Table 1 – Train Priority Matrix**

Decreasing Order of Priority	MCR:	Non-MCR
From Highest	Limited-Stop Commuter Peak Services (incl. Peak Positioning Movements)	Long-distance Rail Passenger Services
	Frequent-Stopping Commuter Peak Services (incl. Peak Positioning Movements)	Commuter Peak Services and Rail Passenger Services likely to affect Commuter Peak or Special Event Services
	Long-Distance Passenger Services	Limited -Stop non-Commuter Peak Services
	Limited-Stop non-Commuter Peak Services	Freight services likely to affect Commuter Peak or Special Event services
	Express Freight Services	Express Freight Services
	Frequent-Stopping non-Commuter Peak Services	Frequent-Stopping non-Commuter Peak Services
	Non-Express Freight Services	Non-Express Freight Services
To Lowest	Non-Revenue Positioning Movements	Non-Revenue Positioning Movements

Table 2 - Decision Matrix

<b>Trains of Equal Health</b>	<b>Both Healthy</b>	<b>Both Late</b>
	<b>One On Time + One Late</b>	
<b>Equal Priority Trains</b>	<b>Rule 1 + 2</b>	<b>Rule 3</b>
<b>Unequal Priority Trains</b>		<b>Rule 6 + 3</b>
<b>Higher Priority Train is On Time + Lower Priority is Late</b>	<b>Rule 5 + 2</b>	
<b>Higher Priority Train is Late + Lower Priority Train is On Time</b>	<b>Rule 4 + 2</b>	
<hr/>		
<b>Trains of Unequal Health</b>	<b>Rule 7 + 2</b>	

- Rule 1:** a) a Healthy Train should be managed such that it will exit on time.  
 b) If a Healthy Train is running late, it should be given equal preference to other Healthy Trains and advanced wherever possible to regain lost time. Any delay to other Healthy Trains as a result of such advancement must be kept to a minimum as defined in Rule 2.
- Rule 2:** The following delay limits apply to the full journey of a Healthy Train being held back:  
 a) the delay to the individual Rail Passenger Service held back does not exceed 5 minutes; or  
 b) there is a plan in place to recover lost time so that the downstream effect on the service held back and on individual subsequent Rail Passenger Services also does not exceed 5 minutes;  
 c) the delay to a freight service held back does not exceed 15 minutes; or  
 d) there is a plan in place to recover lost time so that the downstream effect on the healthy freight service held back and on individual subsequent healthy freight services also does not exceed 15 minutes. Any plan for the recovery of time by freight services must be capable of being achieved prior to their entry into the Metropolitan Commuter Region (MCR), unless the freight services concerned have standing time built into their Train Paths within the MCR, and the delay to be recovered within the MCR does not exceed the amount of standing time.
- Rule 3:** Give preference to Train where Train performance indicates it will lose least or no more time and even make up time and hold the gain; and consider downstream effect to minimise overall delay.
- Rule 4:** Lower priority Train gets preference. Higher Priority Train can be given preference subject to the delay to the Lower Priority train being kept to a minimum as defined in Rule 2.
- Rule 5:** A higher priority Train should be given preference over a lower priority Train. A lower priority Train may be given preference over higher priority Train provided the delay to that Train is kept to a minimum as defined in Rule 2.
- Rule 6:** High priority Train has preference, subject to Rule 3.
- Rule 7:** A Healthy Train should be given preference over an unhealthy Train. An unhealthy Train may be given preference over a Healthy Train provided the delay to that Train is kept to a minimum as defined in Rule 2.

**Annexure 1 TRAIN PATH APPLICATION**



**APPLICATION FOR NEW OR VARIED TRAIN PATH FOR INCLUSION IN WORKING TIMETABLE**

Processing Number \_\_\_\_\_ RIC use only

**Rail Operator name**

(the one holding access rights)

**Potential train number**

(Consistent with Train Numbering Guidelines in TOC Manuals- General Instruction Pages, Section 7)

Forward trip \_\_\_\_\_ Return trip \_\_\_\_\_

**Type of train path**

Origin - Destination and preferred route

Main commodity

Days train path to run

Preferred start date

Period path to apply

Mandatory / conditional / seasonal \_\_\_\_\_ strike out the non applicable \_\_\_\_\_

Forward trip \_\_\_\_\_ Return trip \_\_\_\_\_

Forward trip \_\_\_\_\_ Return trip \_\_\_\_\_

**Train Specification Details**

Motive Power	Forward trip	Return trip
Proposed Running Schedule	Forward trip	Return trip
Trailing Load (tonnes)	Forward trip	Return trip
Overall length (including locos)	Forward trip	Return trip
Class & type of rolling stock	Forward trip	Return trip

**Train Type:**

- Grain
- Minerals
- Coal
- General Freight
- Trip Trains
- Work Trains
- Passengers

**Train Path Specification and Timing Details**

**Forward Journey**

Path Specification Item	Rail Operator's requirements
Location & preferred depart time	
<ul style="list-style-type: none"> <li>✓ Any terminal requirements or restrictions to be noted?</li> <li>✓ Time required to load/unload</li> <li>✓ Is depart time flex available?</li> <li>✓ Any dependencies on connections off other services or to meet market deadlines?</li> </ul>	
<p>En-route activity &amp; time allowances for this train path</p> <ul style="list-style-type: none"> <li>✓ <b>Crew changeover points and time required</b></li> <li>✓ Any refuelling involved?</li> <li>✓ <b>Locomotive changes?</b></li> <li>✓ Is shunting required, specify locations and time required?</li> <li>✓ <b>Is time flex available or any dependencies on other services or market needs?</b></li> </ul>	
Destination & preferred arr. time	
<ul style="list-style-type: none"> <li>✓ Any terminal requirements or restrictions to be noted?</li> <li>✓ Time required to load/unload.</li> <li>✓ Is arrival time flex available?</li> <li>✓ <b>Any dependencies on connections with other services or to meet market deadlines?</b></li> </ul>	

**Return Journey**

Path Specification Item	Rail Operator's requirements
Starting location & depart time	
<ul style="list-style-type: none"> <li>✓ Any terminal requirements or restrictions to be noted?</li> <li>✓ Time required to load/unload</li> <li>✓ Is depart time flex available?</li> <li>✓ Any dependencies on connections off other services or to meet market deadlines?</li> </ul>	
En-route activity & time allowances for this train path  <ul style="list-style-type: none"> <li>✓ <b>Crew changeover points and time required.</b></li> <li>✓ Any refuelling involved?</li> <li>✓ <b>Locomotive changes?</b></li> <li>✓ Is shunting required, specify locations and time required?</li> <li>✓ <b>Is time flex available or any dependencies on other services or market needs?</b></li> </ul>	
Destination & preferred arr. time	
<ul style="list-style-type: none"> <li>✓ Any terminal requirements or restrictions to be noted?</li> <li>✓ Is arrival time flex available?</li> <li>✓ <b>Any dependencies on connections to other services or to meet market deadlines?</b></li> </ul>	

Please show below any additional information you wish to supply on requested train path or business requirements the path needs to meet. This may need to include where appropriate sourcing of wagons and locos for the proposed service.

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Path Requestor .....

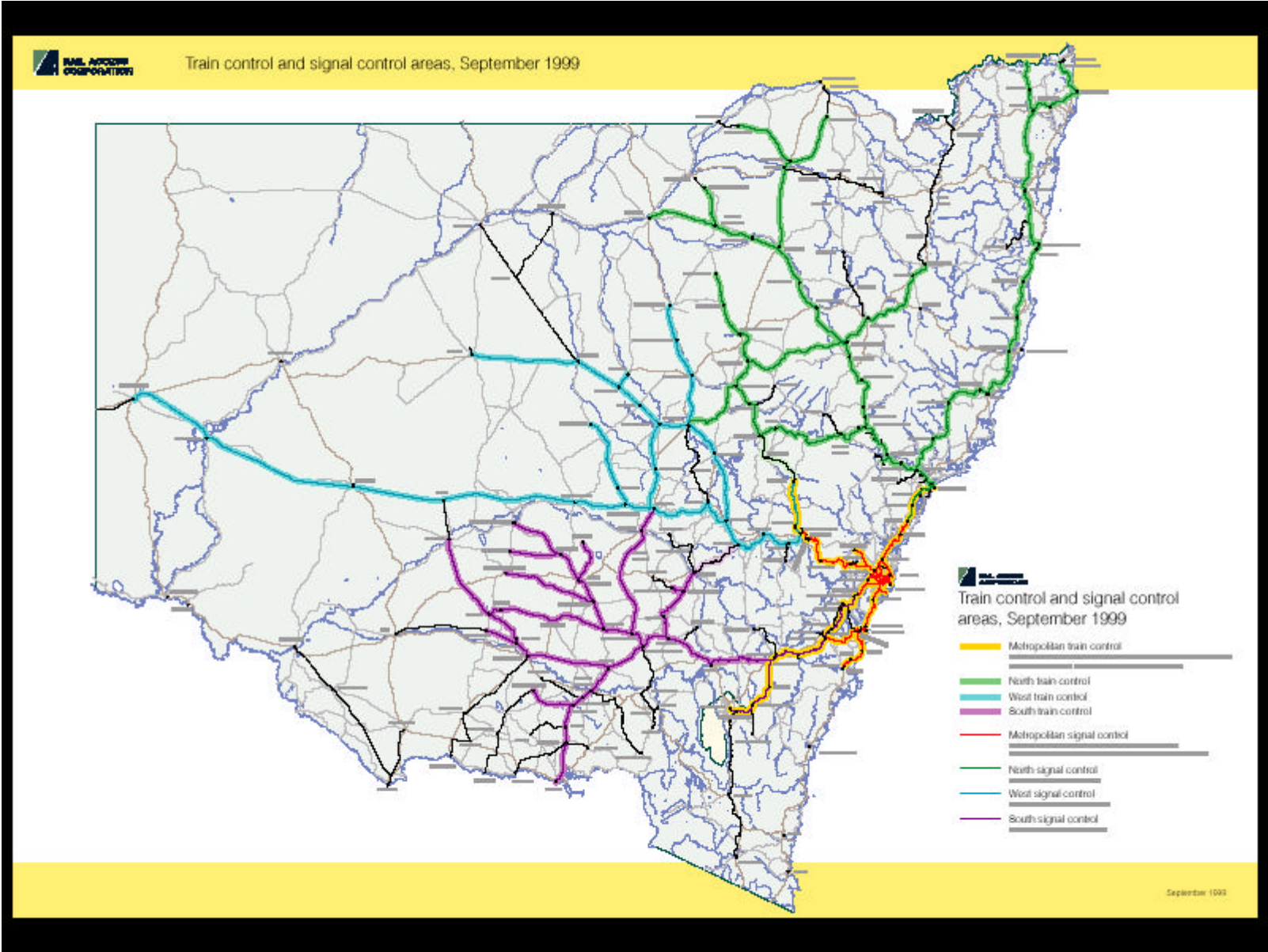
Position ..... Date.....

## Annexure 2 TRAIN CONSIST INFORMATION

Train Consist means, in respect of each of the Rail Operator's locomotive-hauled Train Movements, an advice including the following details:

- a) Rail Operator's Name (the one holding access rights)
- b) Train Number (consistent with the Train Numbering Guidelines in TOC Manual – General Instructions Pages, Section 7)
- c) Origin & destination of the Train
- d) Date of departure
- e) The number of vehicles in the Train
- f) The gross [trailing tonnes] [weight] of the Train
- g) The length of the Train (expressed in metres)
- h) The motive power employed by the Train (active and inactive)
- i) For each vehicle in the Train in the order in which they will be placed, leading end first, the following information:
  - Vehicle number;
  - Vehicle classification;
  - Gross weight of vehicle
  - Origin and destination of the vehicle; and
  - Whether it is carrying passengers and/or the manifest of goods carried (including details of all dangerous goods); and
- j) Train crew details – name and contact telephone number.

Annexure 3 SRA Train Programming and Train Control Contacts



## OPERATIONS PROTOCOL

Location	Contact Position	Phone No.	Fax No.
South Train Control – Junee			
	Manager Train Control	02 6930 5231	02 6930 5308
	Programme Co-ordinator	02 6930 5255	02 6930 5254
	Control Board	02 6930 5256	02 6930 5254
West Train Control – Orange			
	Manager Train Control	02 6391 4205	02 6391 4224
	Programme Co-ordinator	02 6391 4228	02 6391 4236
	Train Control Board (Orco)	02 6391 4242	02 6391 4236
	Train Control Board Orange (Toco)	02 6391 4230	02 6391 4236
North Train Control – Broadmeadow			
	Manager Train Control	02 4962 9214	02 4962 9977
	Programme Co-ordinator	02 4962 9529	02 4962 9584
	Possessions & Timetables Officer	02 4962 9810	02 4962 9340
	Train Control Supervisor	02 4962 9410	02 4962 9584
	Northwest A Train Controller	02 4962 9402	02 4962 9616
	Northwest B Train Controller	02 4962 9401	02 4962 9616
	North Train Controller	02 4962 9403	02 4962 9771
	Coast A Train Controller	02 4962 9404	02 4962 9208
	Coast B Train Controller	02 4962 9405	02 4962 9208
Metropolitan Train Control – Sydney			
	Manager Train Control	02 9379 4633	02 9379 5019
	Assistant to the Train Control Manager	02 9379 1963	02 9379 1288
1 <sup>st</sup> point of contact	Main Line Board Supervisor	02 9379 1743	02 9379 4941
	Programme Co-ordinator	02 9379 1871	02 9379 4941
	Goods Control Board	02 9379 4733	02 9379 3125
	South Control Board	02 9379 1801	02 9379 2744
	West Control Board	02 9379 4224	02 9379 5183
	North Control Board	02 9379 4519	02 9379 2078
	Illawarra Control Board	02 9379 4559	02 9379 5184
2 <sup>nd</sup> Point of Contact	Operations Control Supervisor	02 9379 4664	02 9379 4781
	Operations Control Main Board	02 9379 1766	02 9379 4781
	Operations Control Outer Board	02 9379 1701	02 9379 4781
	Operations Control Illawarra Board	02 9379 4599	02 9379 4781
	Operations Control Co-ordinator	02 9379 4485	02 9379 5180
	Metra Supervisors	02 9379 4242	02 9379 4482