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Date:	05 March 2011
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Level 2

Railway Operational Code Implementation, Variation and Review Process

Endorsement and Authorisation

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Issue record

Issue	Date	Comments
1	1/12/2006	
2	1/12/2008	Incorporates changes following the completion of the last ROC section and section reviews
3	5/03/2011	Amended to reflect organisational change.

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 05 March 2011.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 3 (Option Selection) to continue to comply with the issue of any relevant Network Rail standards current when GRIP Stage 3 was completed and not to comply with requirements contained herein, unless stipulated otherwise in the scope of this standard.

Reference documentation

Network Code	Part H-Operational Disruption – Railway Operational Code http://www.networkrail.co.uk/browseDirectory.aspx?dir=\Network%20Code&pageid=2889&root=
Railway Operational Code	ROC http://www.networkrail.co.uk/browseDirectory.aspx?dir=\Network%20Code\Railway%20Operational%20Code&pageid=2889&root=
NR/L2/OCS/021	Weather- Managing the Operational Risks

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1 Purpose

This specification describes the sections of the Railway Operational Code , how reviews will be conducted and the arrangements and processes for dealing with variations.

1.1 Background information on the ROC

The Railway Operational Code (ROC) was established under Part H of the Network Code. Network Rail and each Train Operator (note that this term includes any party wit a track access contract incorporating the Network Code) are required to comply with the Railway Operational Code.

The objective of the ROC is to sustain and, where necessary, restore expeditiously the operation of services in accordance with the Working Timetable in a manner consistent with the ORR ROC Criteria, having regard to:

- a) the needs of passengers and freight customers;
- b) the interests of safety and security; and
- c) the efficient and economical operation of the Network and of trains operating on it.

2 Scope

This Company Specification applies to HQ employees including those out based at Territories, and to Routes/Areas. Specifically it covers:

- the arrangements for implementing the ROC;
- the arrangements for conducting periodic ROC Section reviews;
- the arrangements for managing variations of ROC Section including Subsidiary Documentation.

2.1 The ROC was established on the basis that it would provide:

- a) a specification of the procedures and policies by which Network Rail, in cooperation with the Train Operators, will promote the achievement of the objective, including:
 - 1) a procedure for notification of and communication in relation to Disruptive Events or reasonably foreseeable Disruptive Events;
 - 2) train regulation policies;
 - 3) an emergency timetable procedure in the event of Extended Disruption;
 - 4) arrangements for clearance of track blockages and assistance for failed trains;
 - 5) arrangements for provision of equipment to deal with adverse weather conditions; and the preparation for and response to seasonal disruptions;

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- 6) control arrangements;
 - 7) provision of customer information
 - 8) other matters, which is necessary or expedient should be covered in order to promote achievement of the [ROC] Objective.
- b) procedures for reviewing and monitoring the effectiveness of the ROC; and;
 - c) procedures for the production, review, approval and publication of subsidiary documents, including contingency plans and operational procedures which are required to be produced under the ROC.

3 Roles and responsibilities

National Operations Delivery Manager	Overall responsibility for the Railway Operational Code and its implementation within Network Rail and providing guidance on the requirements of the ROC Sections
Director, Stations & Customer Service Head of Train Planning National Operations Delivery Manager	Managing the review and variation procedures for the ROC
Current Operations Manager ICC and Non ICC Route Control Manager	To implement and manage the Control Arrangements the arrangements for Line Blockages and Failed Trains Sections
Train Planning Manager Route On Call Manager (nominated by Route Directors) Route Control Manager	To implement and manage the arrangements for Emergency Timetabling Procedure
National Weather Strategy Specialist Route Weather Strategy Co-ordinator	To implement and manage the arrangements for Adverse Weather and Seasonal Disruptions
Area Train Regulation Experts	A person appointed by a Route Director, to implement and manage the national and route Train Regulation Policies
Managed Stations Manager	To implement and manage the arrangements for the provision of customer information

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4 Definitions

Subsidiary Documentation:

Plans, procedures and documents that are produced under the ROC and designated in it as Subsidiary Documentation. Examples are Route Codes of Practice and Contingency Plans produced under the Control Arrangements Section of the ROC and Train Regulation Policies produced under the section of that name.

5 Implementation of ROC Sections

5.1 ROC Section 'Introductory and General'

- This section sets the scene for the ROC and outlines the general procedures for varying and reviewing the ROC, although more detail is provided in each ROC Section. It also confirms that Group Standards prevail over the ROC and that the application of the ROC should not prejudice any established performance regime e.g. Schedule 8;
- there is no implementation or ongoing action related specifically to this ROC Section.

5.2 ROC Section 'Train Regulation Policies'

- this section provides for Network Rail to establish and comply with Train Regulation Policies. These are the documented policies governing the regulation of trains by Network Rail, for the promotion of the Train Regulation Objective;
- train Operators or Network Rail may propose changes to the Train Regulation Policies, to be consulted upon prior to their determination. Alternatively, new policies may be developed through agreed trials;
- a national Train Regulation Policy Statement has been developed and along with its local statement appendix will be introduced across Network Rail in consultation with Train Operators;
- 'Area Train Regulation experts' nominated by Routes will 'own' Train Regulation issues at route level;
- the Train Regulation Policy Statement constitutes Subsidiary Documentation under the ROC Section;
- the section itself may be varied under the Introductory and General ROC Section procedures: however, Train Regulation Policies are subject to their own variation procedure as detailed in the section (paragraph 7);
- when the section is reviewed, special requirements must be considered as found within (paragraph 8.2) of the section.