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National Control Instructions

Section 1.9

Guidance: Contingency Planning

This section contains

		Issue	Dated
1.9.1	ROC Section 'Control Arrangements' Contingency Plans		
1.9.2	Applicable ROC Sections and other documents		
1.9.3	Route Code of Practice		
1.9.4	Development and Establishment of Contingency Plans		
1.9.5	Provision of Customer Information disruption definitions		
1.9.6	Train Service Recovery Plans		

Ref:	NR/L3/OCS/043/1.9
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1.9 **Guidance for Contingency Planning**

The purpose of this section of the National Control Instructions is to provide guidance on the provision of contingency plans.

- It is intended to enable Network Rail and Train Operators to produce effective, efficient contingency plans
- It contains details of reference documents including the ROC control arrangements, Routes codes of practice and SR 2007 ACOP
- It outlines how service recovery plans are researched defined and produced.
- It includes help on the factors necessary in a service recovery plan including: Traction, diversionary routes, timetable, reference route capacity plans, and include plans for shortage of traction and or Train Crew, or the loss of facilities at depots.

1.9.1 **ROC Section ‘Control Arrangements’ Contingency Plans**

The Railway Operational Code Section on ‘Control Arrangements’ contains the processes for the formulation and implementation of certain types of contingency plan.

Annex A of the ROC section contains a non exhaustive list of types of contingency plan and is reproduced and amended below.

1.9.1.1 **Service Recovery Contingency Plan**

Service recovery plans that detail specific actions with individual trains or service groups forming part of a larger plan to restore the Working Timetable in “real time” during and following a Disruptive Event as mandated by the Service Recovery Process. However, these plans may be used, notwithstanding the Service Recovery Commencement Time (as defined in the Service Recovery Process) not being declared.

1.9.1.2 **Route Blockage Contingency Plan and Capacity Plan**

Route blockage plans that detail specific actions with individual trains or service groups when one or more lines on a route has been blocked and will remain so for a material period, including details of the diversionary route to be used by such service group or trains, plans for moving from total to partial blockage and plans for degraded hand-back.

The Capacity Plan defines the amount of access that will be available on either the route affected or the capacity of the diversionary route

1.9.1.3 **Adverse Weather and Seasonal Arrangements Contingency Plan**

A Contingency Plan that has been derived as part of the arrangements for dealing with adverse weather or a specific season.

1.9.1.4 **Train Operator Contingency Plan**

Ref:	NR/L3/OCS/043/1.9
Issue:	1
Date:	01 March 2008
Compliance date:	01 June 2008

A Contingency Plan that has been designed specifically by the Train Operator to deal with a single event or circumstance affecting rolling stock, Train Crew, a depot or siding or customer arrangement, excluding a plan as described under paragraph 1.9.1.6 of this section and any other plan relating to compliance with Rule Book requirements in relation to safety defects.

1.9.1.5 Engineering Work Contingency Plan

A Contingency Plan that is designed to mitigate the effects of specific engineering work in anticipation of circumstances, which may be otherwise unforeseen, causing the work to overrun, which plan may provide measures to minimise those effects and could incorporate elements of other Contingency Plans.

1.9.1.6 “On Train” Defective Equipment Contingency Plan

A specific plan that is provided by the Train Operator and authorised by Network Rail to comply with the Railway Group Standard requirements in the report and managing of “on train” defective equipment.

1.9.1.7 Civil Emergency Contingency Plan

A plan to address responses to civil emergencies.

1.9.2 Applicable ROC Sections and other documents

In order to formulate and compile contingency plans reference must be made to the following documents:-

- ROC Section on Control Arrangements
- ROC Section on Emergency Timetabling Procedure in the event of an Extended Disruption
- ROC Section on Arrangements for provision of Equipment to deal with adverse Weather conditions: and the preparation for and response to Seasonal Disruptions
- ROC Section on Train Regulation Policies
- ROC Section on Arrangements for clearance of Track Blockages and Assistance for Failed Trains
- ROC Section on the Provision of Customer Information
- Franchise Agreements including stakeholder obligations
- Service Recovery Good Practice Guide
- Any other relevant information

1.9.3 Route Code of Practice

In order to facilitate the production of Contingency Plans, reference must be made to the Route Code of Practice as defined by the ROC Section Control Arrangements. The relevant part of the ROC Section is reproduced below as, and will be reflected in the individual codes as produced.

1.9.3.1 Route Codes of Practice

- 1) Network Rail shall lead the process of developing and establishing a Route Code of

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Practice in respect of each of the Network Rail routes. Such Route Codes of Practice shall constitute subsidiary documentation as defined in the Network Code Part H – Operational Disruption, and further information on their development, approval and establishment in conjunction with activities in relation to Contingency Plans are set out in Annex B of the ‘Control Arrangements’ ROC Section.

- 2) Each Train Operator shall participate, in conjunction with Network Rail, in the development and establishment of the Route Codes of Practice, together with other Train Operators on those routes.
- 3) Each Route Code of Practice shall:
 - i) conform with the Objective, [as defined in the ROC Section ‘Control Arrangements’ and reproduce at 1.9.3.1, **9**) below] ;
 - ii) establish in general terms the roles and responsibilities of Network Rail and Train Operators responding to a Disruptive Event and be supplementary to any mandatory emergency plans required by Safety Case or Licence obligations; and
 - iii) be a record of the principal information necessary or desirable to help achieve the Objective and in particular, detail, processes and information in respect of the following matters:
 - a) communications between Network Rail and Train Operators following a Disruptive Event;
 - b) the identity and capability of any relevant diversionary routes;
 - c) arrangements as to the utilisation of railway vehicles and information on the availability of any relevant route and traction knowledge of Train Crews in relation to the diversionary routes or railway vehicles;
 - d) the contingent arrangements for freight traffic specific to that route;
 - e) the contingent arrangements for passengers in respect of that route (for example regarding the provision of alternative bus services);
 - f) Train Operators’ arrangements for communications with passengers;
 - g) the response to any failures of the Network and deployment of engineering resources to incidents;
 - h) the arrangements that will apply in the incidence of a Disruptive Event escalating, including on-call procedures;
 - i) the identification of any relevant Contingency Plans (including any specifically owned by the Train Operator which apply to their rolling stock, depots and customer operations);
 - j) business continuity in the event that it is necessary to evacuate a Control Office; and