

NATIONAL CONTROL INSTRUCTIONS

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Date: 04 June 2011

RAILWAY OPERATIONAL CODE (ROC)

1 ROC CONTROL ARRANGEMENTS

1.1 Purpose

Network Rail controllers shall, on a 'real time' basis, in our capacity as operators of the Network:

- direct and manage the movements of trains on the Network thereby sustaining the operation of the Network; and
- determine the capacity of the Network and direct and manage the movements of trains on the Network in the event of degraded operations subject to the availability and provision of Train Operators' operational resources.

1.2 Scope

Network Rail controllers shall do this to fulfil the Objective, which is:

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

- **the needs of passengers and freight customers;**
- **the interests of safety and security; and**
- **the efficient and economical operation of the Network and of trains operating on it;**

and, without prejudice to its right and obligation of direction and management, shall use all reasonable endeavours to do so on a co-operative basis with Train Operators.

This is part of the ORR ROC criteria and is the guiding or enforcing requirement for the ROC and in particular this Section.

1.3 Reference Documentation

- Network Code
- Railway Operational Code
- Network Rail Specification: NR/L2/OCS/042

1.4 The Network Rail Operational Control Function

The Network Rail Operational Control function is defined with Paragraph 4.1.1 of the Control Arrangements contained within the ROC.

Network Rail controllers, when making 'real time' decisions, shall strike a fair and reasonable balance between the interests of both passengers and freight customers, and restoration of the operational railway in the event of an incident or degraded working.

In making those decisions the following factors shall be considered:

- a) The impact of disproportionate delay or inconvenience to passengers or freight traffic.
- b) The specific needs of longer distance passengers, freight operators and their customers (including the risk to onward connections and of excessive delay.
- c) The potential to spread delay across the Network.
- d) The need to avoid transferring disproportionate delay onto or off the Network at the interfaces with other connected networks.

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- e) Specific local needs consistent with pursuit of the Objective.
- f) The efficient and economical operation of the Network and of trains operating on it, the primary objective shall be efficiency of operation at the whole-industry level.

In considering the needs of passengers and freight customers, the primary objective shall be to improve performance against the overall public performance measure (PPM) for franchised passenger operators and to reduce the total number of minutes delay and cancellations to trains operated on the network by other operators;

1.5 Operational Readiness Statement

The Control Office shall issue a daily Operational Readiness Statement which shall detail the availability of the infrastructure and resources to operate the Network, and (in the case of the Train Operator where a joint statement is prepared) the rolling stock, Train Crews and other operational resources to meet the timetable requirements.

It shall include information on the then current status of relevant “real time” operations issues affecting the Network and a plan of action where issues require to be addressed and details of outstanding faults and defects that need rectification.

The Operational Readiness Statement shall include as an attachment a performance report in respect of operations on the preceding day in the form of the daily report (Log) from CCIL.

Appendix A to this Instruction 2.4.1 shall be issued by each Route Control Daily

1.6 Disruptive Events

Network Rail Controllers shall notify affected Train Operators of the occurrence or likely occurrence of any Disruptive Event. Such notification shall be made as soon as reasonably practicable after they become aware of that actual or likely Disruptive Event including details of any applicable Contingency Plan.

Train Operator Controllers shall notify Network Rail of the occurrence or likely occurrence of any Disruptive Event which has disrupted or is reasonably likely to disrupt either the operation of trains by that operator or the operation of any part of the Network. Such notification shall be made as soon as reasonably practicable after they become aware of that actual or likely Disruptive Event including details of any applicable Contingency Plan.

Any notice of a Disruptive Event shall contain such information regarding the nature, extent, timing and duration as is reasonably available in the circumstances to enable affected Controls to fulfil their function and shall be updated as soon as practicable after any additional information becomes available.

1.6.1 Action by Network Rail Controllers following notification of a Disruptive Event

Controllers shall, as soon as reasonably practicable following notification of a likely Disruptive Event or following the occurrence of a Disruptive Event, determine the most appropriate action to be taken consistent with the ORR ROC Criteria and any applicable Contingency Plans or action defined within any applicable Route Codes of Practice.

Controllers shall consult with each Train Operator affected or likely to be affected by the Disruptive Event, as fully and regularly as is reasonably practicable in the circumstances, regarding the action it proposes to take, the implementation of that action and its subsequent review.

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Such action may, upon the occurrence or likely occurrence of a Disruptive Event, include the recording by Network Rail Operational Control that the Service Recovery Process applies, and subsequently Network Rail shall adhere to the Service Recovery Process.

In undertaking such action, Controllers shall have overall accountability for the direction and management of train movements on the Network in accordance with the Objective in a manner consistent with the ORR ROC Criteria.

Network Rail Controllers shall be responsible for:

- directing the response to the Disruptive Event in terms of incident;
- response staff and the deployment of its maintenance and repair;
- resources in respect of the Network;
- directing the movements of trains on the Network, subject to the availability of necessary operational resources, diverting and rerouting services where necessary;
- co-ordinating and directing the manner and extent of service provision where a Disruptive Event results in degraded operations;
- taking action in accordance with and as applicable with any other section of the Railway Operational Code.

1.6.2 Network Rail and Train Operators

Each Train Operator shall remain responsible for its own Train Operator

Operational Control, except where the ICC agreement expressly details differently.

Where Network Rail considers a Contingency Plan shall be implemented:

- a) The incident Controller shall co-operate with their counterpart Train Operator Controllers to introduce any plan that is prepared and is able to meet the specific circumstances of and surrounding the relevant Disruptive Event.
- b) Where no Contingency Plan exists or deals adequately with a particular Disruptive Event, the Controllers shall work together in the application of measures contained within the Route Codes of Practice including where appropriate for the formulation of a Contingency Plan; or
- c) Work together in accordance with the Objective to mitigate the circumstances and restore the Working Timetable as soon as reasonably practicable.

1.6.3 Action by Controllers during a Disruptive Event (Network Rail and Train Operators)

- Monitor the effects on, and recovery of, the services.
- Co-operate by participating in such action as is necessary and appropriate to fulfil the Objective in a manner consistent with the ORR ROC Criteria.
- Share information on Disruptive Events in order to facilitate appropriate communications by other parties to passengers and customers.
- Share information to help identify the root cause of the incident, the circumstances arising and the effectiveness of the action taken or proposed to be taken.

2 ROC EMERGENCY TIMETABLING

2.1 Purpose

Network Rail controllers shall instigate the Emergency Timetabling procedure in a manner consistent with the Objective defined at 2.1:

- to minimise the effects of an Extended Disruption;
- to permit the operation of trains in accordance with the Applicable Timetable as it would have applied in the absence of the Extended Disruption as soon as reasonably practicable after the end of that Extended Disruption; and
- when accommodating the effects of the Extended Disruption, make the most efficient and economical use of available resources is made so as to fulfil so far as reasonably practicable the needs of passengers and freight customers.

2.2 Reference Documentation

- Network Code
- Railway Operational Code
- NR Specification: NR/L2/OCS/042

2.3 Provision for Amended Working Timetables in Contingency Plans

- Contingency plans may contain emergency timetables that are prepared in advance to be used in specific circumstances, or they may set out how and when an emergency timetable would be established.
- In addition, Controls may arrange for the introduction of an emergency timetable where no contingency plan exists to cater for the relevant circumstances.
- Either Network Rail or an affected train operator controller may become aware that an extended disruption is, or may be, taking place.
- Train operators are required to notify Network Rail of any extended disruption of which they become aware.
- If a contingency plan exists that has been designed to meet the disruption concerned, Network Rail controller is to consult the affected train operator(s) as regards the implementation of the contingency plan and any emergency timetable provision in it.
- Unless otherwise agreed, the contingency plan shall be implemented and the train operators shall co-operate with this.

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2.4 Emergency Timetables Where Contingency Plans Do Not Apply

- a) If no contingency plan exists or the circumstances are beyond the scope of existing contingency plans, Network Rail is to consult with all affected train operators and consider if an emergency timetable shall be planned and implemented.
- b) If Network Rail control concludes that the emergency timetable shall go ahead, it shall seek unanimous agreement from the affected train operators, usually by means of a telephone conference.
- c) If unanimous agreement is reached, Network Rail shall then implement the emergency timetable and amend the working timetable accordingly.
- d) If, however, no unanimous agreement is reached but two thirds of the affected train operators agree to the emergency timetable, it is still possible to proceed. Network Rail control shall however, consider all the representations made.
- e) If Network Rail control still considers that the emergency timetable shall go ahead in order to better achieve the purpose of this ROC section, it shall give notice to all affected train operators accordingly.
- f) That notice shall say who has or has not agreed and why this is to go ahead.
- g) Where an emergency timetable is to be implemented, Network Rail is responsible for producing it and notifying all affected train operators accordingly and therefore the involvement of Operations Planning within the process shall be arranged.
- h) 2.6 below contains the arrangements that shall be applied.

2.5 Implementation Process for Network Rail Controls

2.5.1 The Control shall:

- a) Organise a conference in accordance with the Service Recovery process involving the affected Train Operators including representatives from Network Rail Train Planning if appropriate.
- b) Define the most appropriate level of access from the Route Capacity Plan.
- c) Seek agreement, or in the absence of such, decide on the Emergency Timetable to be introduced taking into account the views of the affected Train Operators.

2.5.2 Route Control Manager

The Route Control Manager, following the discussions and conferences, where Network Rail has reached agreement with all or two thirds or more of the affected Train Operators and is of the opinion that the Emergency Timetabling Objective can be better achieved with such amendment; shall make arrangements for the implementation of that Emergency Timetable and advise all Affected Train Operators of that decision.

Other Network Rail persons who may make these decisions are:

- current Operations Managers;
- Route Directors or Route / Area General Managers;
- out of hours 2nd or 3rd line on call Route Managers as nominated to the Control Office.