

Western Australian Government Railways Commission

Train Management Guidelines

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1. INTRODUCTION

The following Train Management Guidelines set out the principles, rules and practices that are applied and followed by the Western Australian Government Railways Commission (WAGR) in its performance of functions related to requirements imposed on WAGR by or under the Railways (Access) Act 1998 or the Railways (Access) Code 2000.

Specifically, the function to which these Guidelines apply is the real-time management of train services operating under Access Agreements between train operators and WAGR.

The purpose of these Guidelines is to establish a common understanding between the train operator and the WAGR on the obligations required from both parties to ensure that the management of trains is undertaken in the mutual interest of all users of the WAGR railway network.

These Train Management Guidelines are submitted to the Rail Access Regulator under section 43 of the Railways (Access) Code 2000. Under that section, the Regulator may approve these guidelines as submitted by WAGR either with or without amendments, or may reject these guidelines and determine what are to constitute the train management guidelines. The Regulator is required by section 45 of the Code to seek public comment before approving these train management guidelines submitted by WAGR. The train management guidelines may be amended or replaced by the railway owner with the approval of the Regulator. The Regulator may direct WAGR to amend these Train Management Guidelines or to replace them with other Guidelines determined by the Regulator.

These Train Management Guidelines will form a schedule to all Access Agreements made under the Railways (Access) Code 2000.

2. ASSOCIATED REFERENCE DOCUMENTS, INCLUDING PROCEDURES, RULES, STANDARDS, ACTS AND REGULATIONS

These Train Management Guidelines must be read in conjunction with the following associated reference documents, all of which are publicly available and may be obtained from WAGR.

- WAGR Network Rules;
- Appendix to the WAGR Network Rules;
- WAGR Rail Infrastructure Codes of Practice and Procedures;
- WAGR Operating Procedure for Traffic Management (4010-409-001);
- WAGR Emergency Management Plan;
- WAGR Procedure for Emergency Management – Urban Electrified Area (4010-409-501);
- WAGR Working Timetables;
- Rail Safety Act 1998 (WA);
- Rail Safety Regulations 1999 (WA);
- Railways (Access) Act 1998 (WA);
- Railways (Access) Code 2000 (WA);
- Australian Standard – Railway Safety Management (AS4292.1 (Part 1));
- Australian Dangerous Goods Code (Volume 1) (Requirements and Recommendations) comprising:
 - The Australian Code for Transport of Dangerous Goods by Rail and Road;
 - Dangerous Goods – Initial Response Guide (SAA/NZS HB76:1997);
 - Dangerous Goods (Transport) (Road and Rail) Regulations.

WAGR is aware of and undertakes to comply with the requirements of all the above referenced and associated documents. All Operators seeking to run trains on the WAGR network must also be aware of and undertake to comply with the requirements of the above referenced and associated documents.

3. *PRINCIPLE GOVERNING THE USE OF THE WAGR RAIL NETWORK*

The reason for the existence of the WAGR urban rail network, and its essential function, is to provide a safe, reliable and efficient rail-based public transport service within metropolitan Perth. Certain performance standards for the provision of that public transport service are required by Government, which funds the urban rail network and the public transport service. WAGR currently operates a rail-based public transport service that is close to world best practice in terms of on-time running (within three minutes of schedule) and the use of safe systems such as Automatic Train Protection. The Government and the users of the system have a right to expect that these standards will be maintained.

The State rail access regime requires that third party operators be permitted to negotiate agreements to use the WAGR network and WAGR is committed to facilitating such use. However, WAGR maintains that the safe and reliable operation of the rail-based urban public transport service is paramount and must not be compromised as a result of the presence of other operators on the network. This principle underlies WAGR's approach to train management.

4. DEFINITIONS

“Access Agreement” means the track access agreement entered into under the Railways (Access) Code, between the railway owner (WAGR) and an Operator, for access to the railway network by that Operator.

“Accredited Operator” means an Operator who is accredited or taken to be accredited under the Rail Safety Act 1998.

“Automatic Train Protection” means an on-board electronic system which monitors the train speed and the status of signals, applying warnings and automatic braking to prevent the train going past a signal at danger or exceeding the speed limit.

“Dangerous Goods Code” means the Australian Code for the Transport of Dangerous Goods by Road and Rail prepared by the National Road Transport Commission (or successor body) from time to time.

“Instructions”- means all instructions and directions, issued by WAGR from time to time which:

- a) ensure, facilities or encourage the proper, efficient, safe and lawful:
 - i) use of land and access to the Network by all Network users; and
 - ii) management of the Network by WAGR,

- b) WAGR considers upon the exercise of reasonable care are consistent with these Train Management Guidelines; and

- c) are given with a view to minimising the disruption to the Operator in a manner which is reasonable in the circumstances and taking into account the valid objectives of WAGR in issuing the instruction or direction,

but does not include instructions and directions which:

- d) derogate from the Train Paths;

- e) prevent the Operator from running a Service of the nature of the Services contemplated or as agreed between the parties from time to time;

unless the instructions or directions:

- f) are Train Control Directions properly given;

- g) relate to safety

- h) are given to implement or support these Train Management Guidelines;

- i) are necessary to prevent or to minimise the effect of a material breach of an Access Agreement; or
- j) are otherwise authorised by an Access Agreement.

“Interface Coordination Plan” means the arrangement entered into by WAGR and the Operator in accordance with the requirements of the Rail Safety Act 1998 and the Australian Standard – Railway Safety Management, AS 4292.1 (Part 1), for ensuring the appropriate management of all coordination required between the parties with respect to managing or carrying out safety related activities associated with train operations.

“Network” means that part of the rail permanent way, controlled by WAGR, which is delineated, described or defined in Schedule 1 of the Railways (Access) Code 2000.

“Operator” means a person to whom access is provided to the network under an access agreement, whether or not that agreement is made under the Railways (Access) Code 2000, for the purpose of running trains.

“Scheduled Train Paths” means the entitlements of the Operator to use the network between the times and locations set out in the access agreement, and as amended, or varied permanently in accordance with that agreement.

“Service” means a train operated by the Operator using the network by which the Operator provides railway freight or passenger services.

“Standards” means the Australian Standard AS4292- Rail Safety Management (Part 1: General and Interstate Requirements), and any other principles and standards prepared, approved and published by the Standards Association of Australia in relation to rail safety.

“Train Control Directions” – means all Instructions issued by WAGR relating to management, continuity and safe operation of Train movements on the Network, including Instructions concerning the actual movement, deployment or placement of Trains, but only to the extent such Instructions:

- a) Are considered by WAGR upon the exercise of reasonable care to be consistent with these Train Management Guidelines; and
- b) Are reasonably made with a view to minimising the disruption to the Operator in a manner which is reasonable in the circumstances and taking into account the valid objectives of WAGR in issuing the Instruction.

“Train Manifest” means a written notice (including, if agreed, in electronic form) prepared by the Operator in relation to a service and containing the following details in relation to that service:

- a) the date the service will commence operation on the network;
- b) the identification number of the locomotive or locomotives that will operate the service and in the order in which they are marshalled on the train;
- c) the number of vehicles in the train;
- d) the gross mass of the train;
- e) the passenger capacity of the train, if applicable;
- f) such detail in relation to the identification of dangerous goods as is required by the Dangerous Goods Code and as is otherwise reasonably required by WAGR (on terms not inconsistent with the Dangerous Goods Code);
- g) the designated train identification number for the service and its origin and destination.

“Train” means one or more units of rollingstock coupled together, at least one of which is a locomotive or other self-propelled unit.

“Healthy Train” means an Operator's train which enters the network within three minutes of the scheduled entry time.

“Unhealthy Train” means an Operator's train which enters the network more than three minutes outside of the scheduled time of entry or during transit becomes three minutes or more later than scheduled.

“Failed Train” means an Operator's train that fails (cannot continue its journey) due to a breakdown or some other mishap and is therefore rendered “unhealthy”.

“Traffic Control” means the control of trains by WAGR or its agents on the network.

“WAGR” means Western Australian Government Railways Commission.

“WAGR’s Network Rules” includes WAGR’s Safety Management Plan approved under section 10 of the Rail Safety Act together with any amendments, deletions or additions made in accordance with the Safety Management Plan and all policies and notices issued by WAGR for the purpose of ensuring the safe use of the Network.

5. PREREQUISITES

The following essential criteria must be met before a service will be permitted to operate on the network:

- a) The Operator must hold an appropriate current accreditation under the Rail Safety Act 1998.
- b) The Operator must have an Access Agreement and have fulfilled all the terms and conditions in that agreement, including those related to insurance and current driver accreditation.
- c) The rollingstock must meet WAGR's specifications for operation on the network. This includes, but is not limited to, compliance with the clearance envelope, a requirement to ensure passenger car windows can not be opened by passengers on some lines because of limited side clearances, and a requirement that toilet waste is kept within the train and not permitted to be released on to the track. Certain train paths, eg during peak periods, may be available only to trains fitted with Automatic Train Protection devices.
- d) The Operator and WAGR must have agreed to an Interface Coordination Plan, and complied with all the requirements of that Plan.
- e) The Operator, in accordance with the access agreement, must provide WAGR with the information required for a train manifest. When this condition has been satisfied the service will be admitted to the network and managed in accordance with these Train Management Guidelines.

6. PRINCIPLES OF TRAIN MANAGEMENT

Set out below are the principles, rules and practices of normal train management. These include the principles to be applied in circumstances where services become interrupted due to matters which occur outside of the control of WAGR, necessitating a need to resolve the competing interests of users of the network. The principles, including any amendments, will be applied in a non-discriminatory manner between all users of the network in order to maintain, as near as possible, the order of priority of scheduled train paths.

6.1 General principles of train management

It is the responsibility of WAGR to provide a safe and fit for purpose railway network and infrastructure, in accordance with its accreditation requirements under the Rail Safety Act 1998 and in accordance with the requirements of the associated reference documents listed in section 2 of these Guidelines. It is the responsibility of WAGR to provide the appropriate access and running rights to allow the Operator to conduct business, and to manage the network on agreed entry/exit times. This includes the provision of suitably trained and experienced train controllers.

It is the responsibility of the Operator to manage and carry out its train running operations in accordance with the appropriate rules and relevant procedures as specified in the associated reference documents listed in section 2 of these Guidelines, as well as utilise its rollingstock in accordance with its accreditation requirements under the Rail Safety Act 1998. The Operator must ensure operating integrity, including train crewing, locomotives, railcars, other rollingstock and loading, in order for train schedules to be met. This includes the provision of suitably trained, experienced and accredited train crews, and the provision of rollingstock which meets WAGR's specifications for operation on the network.

It is the responsibility of both WAGR and the Operator to ensure that operational safety is maintained through compliance with safeworking rules, regulations and procedures.

WAGR and the Operator are required at all times to comply with:

- all applicable safety standards and laws dealing with safety;
- the requirements contained in the associated reference documents listed in section 2 of these Guidelines;
- all other applicable statutes and regulations; and
- the terms and conditions set out in the Access Agreement for Track Access governing the Operator's access to the Network.

6.2 Infrastructure Issues

6.2.1 Operator and track access consultation protocols

The Operator and WAGR will comply with the coordination protocols agreed in the Interface Coordination Plan.

Should WAGR become aware of an infrastructure failure on its network which may have the potential to cause a deviation from scheduled train paths, resulting in the the predicted exit time from the network to vary from the scheduled exit time, WAGR will advise the Operator as early as possible of the magnitude of the failure and the estimated revised time of the service's exit from the network. This advice will take into account the magnitude of the deviation from schedule and the duration of the remaining journey on the network.

Should the Operator become aware of an infrastructure failure on the network, or a potential deviation from the schedule, the Operator must advise WAGR at the earliest possible time of the event and the magnitude of the deviation.

In order to fulfil the above consultation process, unless otherwise agreed, the Operator and WAGR will establish a 24 hour communication link within the context of the Interface Coordination Plan.

6.2.2 Maintenance provisions

WAGR, without the consent of or notice to the Operator, has the right to effect repairs, maintenance or upgrading of the network, or take possession of any part of the network, at any time.

In doing so, if there is there likely to be an effect on scheduled train paths, WAGR will, prior to commencement of any works;

- take all reasonable steps to minimise disruptions to scheduled train paths;
- provide notification of the works to the Operator as soon as reasonably practicable; and
- use its best endeavours to provide an alternative train path.

6.2.3 Management of emergencies

In the event of an emergency which requires WAGR to close all or part of the network, WAGR will, in accordance with the WAGR Emergency

Management Plan, WAGR Procedure for Emergency Management and the relevant Interface Coordination Plans:

- notify all affected Operators as soon as practicable of the nature of the incident;
- notify all affected Operators as soon as practicable of the likely effect on scheduled train paths and the estimated duration of the incident; and
- develop with the Operator(s) a recovery plan in accordance with the provisions of the relevant access agreement(s).

6.3. Operational Issues

6.3.1 Management of daily issues related to train operations

Daily issues (such as the imposition of temporary speed restrictions) will be managed in accordance with;

- the Network Rules; and
- the relevant access agreement.

6.3.2 Use of the network in accordance with scheduled train paths

WAGR will ensure that services operate according to scheduled train paths so that a service which enters the network on-time will exit the network on-time, subject to:

- a) safety considerations;
- b) matters outside the reasonable control of WAGR, which affect the ability of WAGR to provide the scheduled train paths;
- c) advice from the Operator **3** minutes prior to the scheduled departure time that the service will be ready for departure on-time;
- d) presentation of Operator's train on time; and
- e) any other emergencies that may affect the operation of services.

A train which is late entering the network or is delayed within the network will be managed with reasonable endeavour by WAGR to make up time dependent upon:

- a) the degree of lateness;
- b) conformance to the network operating requirements;

- c) how the train has performed in relation to the section running times as it proceeds; and
- d) The obligations WAGR has in relation to the operation of other trains on the network.

WAGR will use its best endeavours to accommodate a Service which is running early or late, is presented at the point of entry to the Network late or is presented at the point of entry to the Network more than **3** minutes early by providing a Train path for that Service at WAGR's first available opportunity.

Both WAGR and the Operator will use their best endeavours to:

- a) ensure that such Services which are running or presented late recover the lost time; and
- b) ensure that such Services which are presented more than **3** minutes early depart the Network no later than the scheduled time.

WAGR may issue Instructions to the Operator and these Instructions may include but are not limited to instructions or directions:

- a) to cease use of a Scheduled Train Path by the Service and for the Service to proceed over such path on the Network as WAGR nominates;
- b) to continue use by the Service of the Network subject to such variation of the applicable Scheduled Train Path or the Service or the composition or quality of Trains as WAGR nominates;
- c) to cause the Service to proceed to a point on the Network and stand there until WAGR issues a further instruction or direction in relation to the Service; or if the Service operates outside of its Scheduled Train Path, to delay or redirect the Service to allow access to the Network by another operator of a Train (including, if relevant, WAGR) whose service would, but for the delay or redirection of the Operator's Service, be delayed or further delayed.

In these circumstances WAGR will:

- a) in giving any Instruction endeavour to minimise disruption to the Operator's Services; and

- b) other than in an emergency, consult with the Operator in giving an Instruction concerning the use of an Operator's locomotive and its crew for the purpose of assisting in the clearing of a Network blockage.
- c) if an Instruction which varies the Operator's Train Paths is intended by WAGR to be permanent, such permanent effect of the Instructions will not take effect until the appropriate procedures for permanent variation of a Train Path has been satisfied. Until the procedure had been satisfied such Instruction will have a temporary effect.
- d) As soon as is reasonably practicable and in any event before an Instruction becomes effective, WAGR must give to the Operator a written copy of the Instruction if such Instruction is ordinarily given in writing by WAGR to Operators.

The Operator will comply with all Instructions and will promptly inform all relevant Train crew of those Instructions and any changes to them. The Operator will also generally inform all relevant Train crew of WAGR's Network Rules and any general notices and other information notified to the Operator by WAGR and will promptly inform the Operator of any changes made by WAGR. If an Instruction is a Train Control Direction, it must be complied with immediately. Unless the Train Control Centre gives an Instruction that is a Train Control Direction, the Operator need only comply with an Instruction if is given a reasonable time before the required time for compliance.

The Operator must comply with all Instructions in such a way as to reasonably minimise disruption to any other Operator's use of the Network. WAGR is not responsible for any delay suffered or cost incurred by the Operator in complying with a proper Instruction of WAGR, and the Operator releases WAGR from any claim arising from such compliance.

The Operator is not responsible for any delay suffered or cost incurred by WAGR in the Operator complying with a proper Instruction of WAGR, and WAGR releases the Operator from any such claim arising from such compliance.

6.3.3 *Network blockage*

A train failure which blocks the network, and therefore the passage of other trains, will be cleared using alternative locomotives and crews at the discretion of WAGR. The strategy adopted will minimise the time the

network will be blocked. As an example, assisting locomotives and crews may be sourced from :

- a) other trains near the vicinity which are being delayed by the failure; or
- b) the nearest locomotive depot.

The actual source will be dependent on the location of the failure and the logistics involved in achieving the minimum disruption to other services using the network.

A failed train will be cleared from the main line to the nearest location where it will not impact on train-running. The train's Operator will then be responsible for undertaking repairs and liaising with WAGR to arrange an alternative pathway.

6.3.4 Operator's recovery plan

In clearing a failed Operator's train from the network, the Operator will be consulted to consider alternatives, which may include:

- a) a reduction of loading;
- b) continuation of the service at reduced speed;
- c) arrangements for an alternative locomotive to be used to continue the service; or
- d) amalgamation with another service.

6.3.5 Management of Emergencies and Incidents

All operational emergencies are to be managed in accordance with the Interface Coordination Plans, WAGR's Emergency Management Plan and WAGR's Procedure for Emergency Management – Urban Electrified Area (4010-409-501).

All operational incidents, including Category A and Category B notifiable occurrences as defined under the Rail Safety Act and Regulations, are to be managed in accordance with the Interface Coordination Plans, WAGR's Network Rules and such other legislation as may apply. This includes incidents resulting in environmental pollution or public health risks.

6.4 Operations conflict resolution procedures and protocol

6.4.1 Real-time allocation of train paths

Scheduled train paths will have been established under an access agreement and will be promulgated by:

- The issue of working timetables;
- The issue of special train notices where the train path is not permanently scheduled.

If an Operator requests an adhoc or alternative train path, in determining such a train path, WAGR will take into consideration the need to ensure that established urban passenger train schedules are maintained on the network. In these circumstances, an ad-hoc or alternative train path will be issued by WAGR under the authority of its General Manager Network and Corridor, by a train controller or another person authorised by WAGR.

6.4.2 Resolution of train path priority due to unhealthy services

In the event of a conflict of train paths resulting from an unhealthy train, the WAGR train controller will use the following matrix:

TRAIN PLAN	Train A↓				
Train B→	TRAIN RUN	Actual Performance	On Time running	Running ahead	Late Running
AGREED NETWORK ENTRY/EXIT TIMES	Actual Performance	Train Control Objective	On Time Exit	On Time Exit	1. No more time lost 2. Make up time 3. Hold the gain
	On Time running	On Time Exit	Scheduled Paths	A or B Rule 2	A Rule 1
	Running ahead	On Time Exit	A or B Rule 2	A or B Rule 2	A Rule 1
	Late Running	1. No more time lost 2. Make up time 3. Hold the gain	B Rule 3	B Rule 3	A or B Rule 4

Rule 1 – Train B may be given preference on condition Train A will still meet On Time exit objective.

Rule 2 – Both trains must meet On Time exit objective.

Rule 3 – Train A may be given preference on condition Train B will still meet On Time exit objective.

Rule 4 – Give priority to train where performance indicates it will lose least or no more time and even make up time and hold the gain.

The primary objective in resolving conflicts is that healthy trains should stay healthy. WAGR will use best endeavours to ensure that unhealthy trains are managed so that where possible they still achieve an on time exit from the network. With late running trains, this includes trying to ensure they lose no more time, where possible make up time and then hold the gain throughout their journey.

In considering whether to apply rules 1 or 3, a train controller, or another person authorised by the General Manager, Network and Corridor, may give consideration to the operational characteristics of the two trains concerned, for example a through train (eg. an express, a freight train or a country passenger train) may be given precedence over a train that will stop at all stations, since this action is likely to minimise the duration of the conflict. A train capable of rapid acceleration may be given precedence over a slower train, since this is also likely to minimise the duration of the conflict. Such precedence will only be given if it does not unreasonably delay the other train.

When making judgments with respect to the rules, a train controller, or another person authorised by the General Manager, Network and Corridor, will give priority to minimising disruptions to the urban passenger train timetables and use all reasonable endeavours to maintain the on-time running of the public transport system.

However, the nature of the urban rail network is such that trains can rarely be directed off the main line to allow a following train to pass. Thus if a late train enters a section behind a train that it would, had it not been late, have preceded, it is likely to have to remain behind that train for the duration of its journey. Given the relatively short section running times on the urban network, this will rarely result in major delays.

7. DISPUTES

If an Operator has reason to believe that a train controller has not complied with these principles, rules and procedures, the Operator will notify the General Manager, Network and Corridor, in writing, as soon as practicable after the incident, with such evidence as supports the Operator's belief. The General Manager, Network and Corridor will investigate the allegation and provide a written response to the Operator within 10 days, advising the outcome of the investigation and what, if any, remedial action is proposed to be taken.

If a dispute related to train management arises between the parties to an Access Agreement they must use reasonable endeavours and act in good faith to settle the dispute as soon as practicable in accordance with the dispute resolution procedures set out in the Access Agreement.

If such resolution is not achievable within the contractual framework of the Access Agreement, either party or both parties will notify the Regulator of a dispute under the Railways (Access) Code 2000.

8. PERFORMANCE MONITORING

Key performance indicators allowing monitoring of WAGR's application of these principles will be developed in consultation with all operators on the WAGR network by June 2002 and published by WAGR thereafter in each Annual Report.

With the agreement of the parties, penalties and/or bonuses in relation to train management performance by both WAGR and the Operator may be negotiated within the context of an access agreement. No penalties will be applied to an Operator in relation to a train that enters the network as a healthy train and is delayed on the network due to no fault of the Operator.