



PRIME

Platform of Rail Infrastructure
Managers in Europe

European Rail Infrastructure Managers
**Handbook for International
Contingency Management**

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Change history

VERSION	AUTHOR	DATE	CHANGES
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1 Introduction

Incidents on the railway infrastructure always have an effect on rail operations. Most incidents are handled at regional or national level by the responsible infrastructure manager. If trains on networks of neighbouring infrastructure managers are affected, the traffic management of neighbouring infrastructure managers is informed directly and involved in the incident management process. This process is daily practice between the infrastructure managers in Europe.

If large incidents with significant international impact occur (in this document referred to as international disruption¹) the international coordination of incident management needs a high management attention at infrastructure managers, allocation bodies and railway undertakings. Other stakeholders such as shippers, governments, regulatory bodies, ports, terminals and media need to be kept informed about the status of the international disruption.

Purpose of this handbook for international contingency management (“the handbook”) is to describe standards that allow continuation of freight and, if national rules allow, passenger traffic flows at the highest possible level despite an international disruption and to assure transparency of the status of the disruption and its impact on traffic flows for all relevant stakeholders across Europe. Rail Freight Corridors (RFCs) act as facilitators with respect to the disruption management and the communication process as set out in chapter 4.

This handbook defines the necessary cooperation in case of international disruptions and describes:

- ⌘ How to recognise and when to declare an internationally relevant disruption
- ⌘ The process for international business continuity management
- ⌘ The roles needed for the international cooperation
- ⌘ Whom to contact
- ⌘ Pre-defined procedures and best practices

This handbook complements the national incident management of the individual European infrastructure managers and the requirements of the OPE TSI (Commission Regulation (EU) 2015/995 – Operation and traffic management TSI) and other regulations referring to incident management as defined in this document. Railway undertakings are invited to develop their own contingency management plans if not yet existing, considering the re-routing options outlined in the re-routing overviews.

RailNetEurope (RNE) with the support of the RFCs takes the responsibility of keeping this document up-to-date and circulating it to infrastructure managers and allocation bodies. Infrastructure managers, allocation bodies and RFCs have to inform their respective partners, e.g., railway undertakings.

¹ For a definition see also chapter 2

The infrastructure managers together with the RFC organise simulations of incident communication defined in this handbook in order to test and improve their international cooperation on a regular basis. RUs will be involved in simulations as far as they are part of the processes defined in this handbook. Results will be included in regular updates.

In order to achieve a European-wide application, this handbook was adopted by RNE General Assembly (16 May 2018), endorsed by PRIME and the RU Dialogue and acknowledged by important European sector associations.

This handbook shall be applicable starting with timetable 2019 for infrastructure managers and RFC. After adoption of the handbook by the RNE General Assembly, the RFC shall initiate the development of re-routing overviews and operational scenarios with their infrastructure manager members. Each infrastructure manager and the RFCs are responsible to ensure compliance with the existing network statement and other relevant documents like the Customer Information Documents of the RFCs.

To support the implementation and continuous improvement of the processes described in this handbook, the best practices and possible technical/IT support will be discussed in the respective RNE working groups.

2 Definition of an international disruption

This definition applies to routes with major relevance for international rail operations in Europe.

For the purpose of this handbook, an international disruption is an unplanned disruption defined by its duration (based on the recovery forecast) and its impact on international train operations:

- ⌘ Duration: Actual and expected disruptions with a forecasted impact on the affected section of more than three calendar days.
- ⌘ Impact: Disruptions with a high impact on international traffic. The impact of an incident is assessed by using business know-how (e.g. knowledge about passenger / freight flows) and by considering available re-routing options (see re-routing overview). Additionally, a high impact can be assumed, as a rule of thumb, if 50% of the trains on the affected section need an operational treatment. This can also be caused by a combination of several small incidents adding up to a high impact on railway operations.

Incidents with durations of 3 days or less are managed carefully based on the existing mostly bilateral daily cooperation of national traffic management centers.

In order to simplify the existing cooperation of national traffic management centers, the European infrastructure managers decided at the RNE General Assembly on 6th December 2017: “The GA approved the introduction of at least one English-speaking dispatcher on national traffic control center in every shift until 2020.”

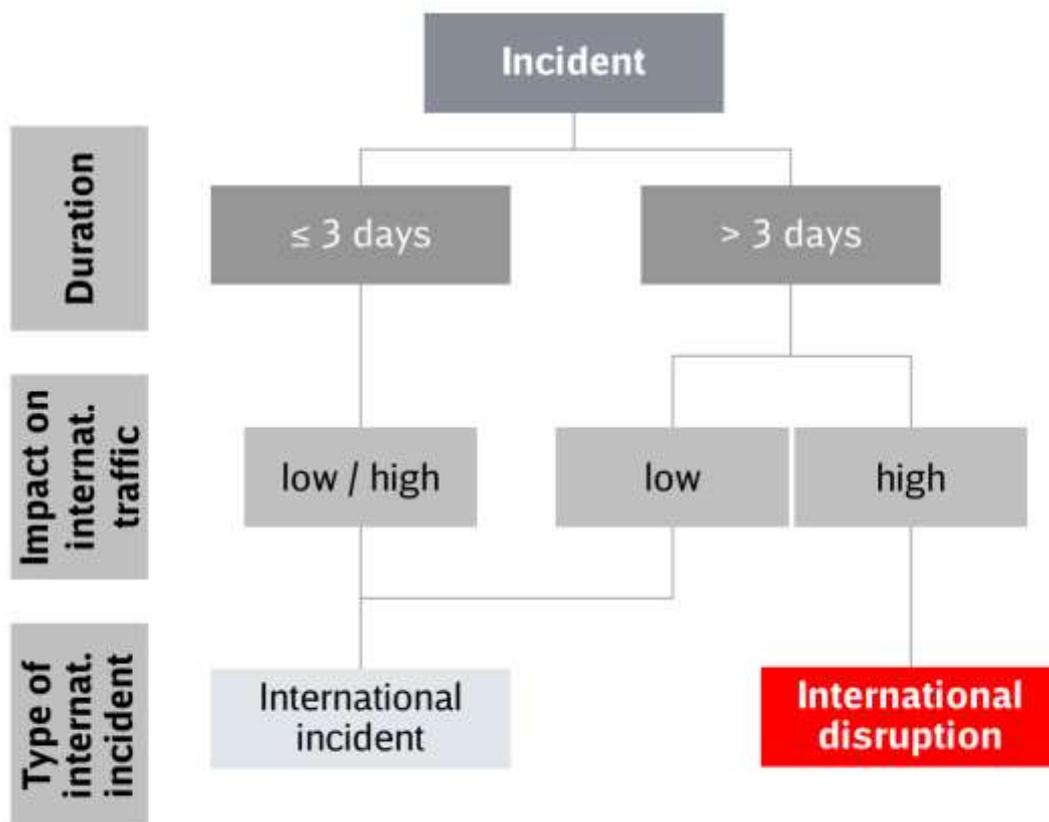


Figure 1 Definition of an international disruption

3 Elements of business continuity management

3.1 Pre-defined RFC re-routing overview

The re-routing overview shall serve the following purposes:

- ⌘ Railway undertakings shall prepare themselves for re-routings in case of an incident.
- ⌘ Infrastructure managers shall use “off-the-shelf” pre-defined re-routing options and traffic management scenarios to minimize traffic disruptions.
- ⌘ Mitigation measures shall quickly enter into force as all line parameters and other requirements are known.

RFCs coordinate with their member infrastructure managers and related RFCs the development of an international corridor re-routing overview combining national re-routing plans across borders along the RFC. The lines of the re-routing overview can go beyond the defined RFC lines.

The RFC re-routing overview shows pre-defined, categorised re-routing lines and is publicly available. These re-routing options include all relevant and available information regarding technical parameters, other operational requirements and a rough indication of capacity (volume), but will not describe precise available capacity on any foreseen re-routing line.

For line sections with limited re-routing options, scenarios with specific traffic management measures for an ad-hoc line closure are prepared by the member infrastructure managers of the RFC².

When re-routing options and traffic management scenarios have been drafted by the infrastructure managers, the RFCs consult with railway undertakings so that these can prepare themselves for possible diversions. A review of the re-routing overview is foreseen at least every two years under coordination of RFCs based on input given by the infrastructure managers.

The infrastructure managers together with the RFCs and RNE should evaluate appropriate IT solutions for documenting and displaying re-routing overviews in a unified way.

3.2 Allocation principles in case of international disruptions

Internationally agreed allocation principles for international disruptions are necessary to make maximal use of the available capacity on the network, to eliminate ambiguity when fast action is required and to avoid discrimination.

This proposal shall be used by all infrastructure managers and allocation bodies without conflicting national laws/regulations. Infrastructure managers and allocation bodies with conflicting national laws/regulations should seek support from Transport Ministries and Regulatory Bodies for a synchronisation with this approach.

² Once finalized, templates will be disseminated

During the first phase after the line disruption national rules, e.g. national disposition rules are to be applied as published in the network statements.

It is important that train paths are allocated on the one hand consistently by infrastructure managers and allocation bodies (agreed border times, same train number) and on the other hand according to the requests of railway undertakings.

Making international re-routing capacity quickly usable for railway undertakings also needs close synchronisation of timetabling and operations of the involved infrastructure managers and allocation bodies.

The process is steered and organised by the infrastructure manager on whose network the incident occurred (the leading infrastructure manager; only in case of an international disruption):

- ⌘ Remaining capacity on the interrupted line and selected re-routing lines incl. related stations/sidings has to be identified by the involved infrastructure managers and allocation bodies.
- ⌘ Railway undertakings give information about the expected amount of paths needed per re-routing line.
- ⌘ This remaining capacity is published, e.g. as a path catalogue, also indicating operational parameters (traction, max. train length, max. weight, profile, special operational requirements). Exceptional transports cannot be guaranteed.
- ⌘ Unless national rules state differently, the infrastructure managers and allocation bodies are only responsible for the allocation of paths to RUs and are not obliged to take the type of goods on a train into account.

The following allocation principles shall be followed if there is less capacity than needed, acknowledging that at the moment in some countries legal adaptations might be required for their implementation. 100 % of capacity available for re-routing (remaining capacity) is allocated between annual timetable traffic and ad-hoc traffic according to the shares of these two segments in the previous year.

- ⌘ For the share of the annual timetable, traffic is analysed per week during the expected time of interruption. The share of every railway undertaking on the disrupted route is calculated at the point of disruption as the basis for determining the number of paths to be offered on each re-routing line. If the weekly share of a railway undertaking in the annual timetable applied to the reduced capacity of a re-routing line does not allow for daily paths, the days of operation will be coordinated with the individual railway undertaking. Every railway undertaking gets at least one path per week.
- ⌘ The share for ad-hoc traffic is allocated on the basis of “first come, first serve”.
- ⌘ If necessary and possible for the infrastructure managers and allocation bodies, the complete paths from origin to destination of a train will be modified and not only the re-routed section.

- ⌘ Allocated paths need to be actively reconfirmed by the railway undertaking. Paths not re-confirmed latest 48 hours prior to the train run become available for ad-hoc requests on a “first come, first serve” basis.
- ⌘ Allocated paths can be swapped between RUs if this is possible under union and national law and if agreed by the infrastructure manager / allocation body.
- ⌘ Trains, planned on the affected line, without an allocated path need to be cancelled.

Infrastructure managers and allocation bodies shall consider all available measures to increase the capacity available for re-routings. This might require cancelling or postponing planned temporary capacity restrictions or mutually agreed suspensions of existent traffic according to union and national law.

Infrastructure managers and allocation bodies are supposed to offer re-routing workshops (at least one at the beginning) and daily telephone conferences with RUs for operational and allocation related questions.

If more than one railway undertaking requests the identical path, a phone conference with all involved railway undertakings will be organised by the concerned infrastructure manager or allocation body with the aim to find a consensual solution. If no mutually acceptable solution can be found, the infrastructure manager or allocation body responsible for the diversion route takes the decision based on national allocation rules defined in the network statement. In case several infrastructure managers and/or allocation bodies are concerned the decision has to be taken jointly.

In any case, any allocation decision will be documented by infrastructure managers / allocation bodies as a basis for potential inquiries of regulators.

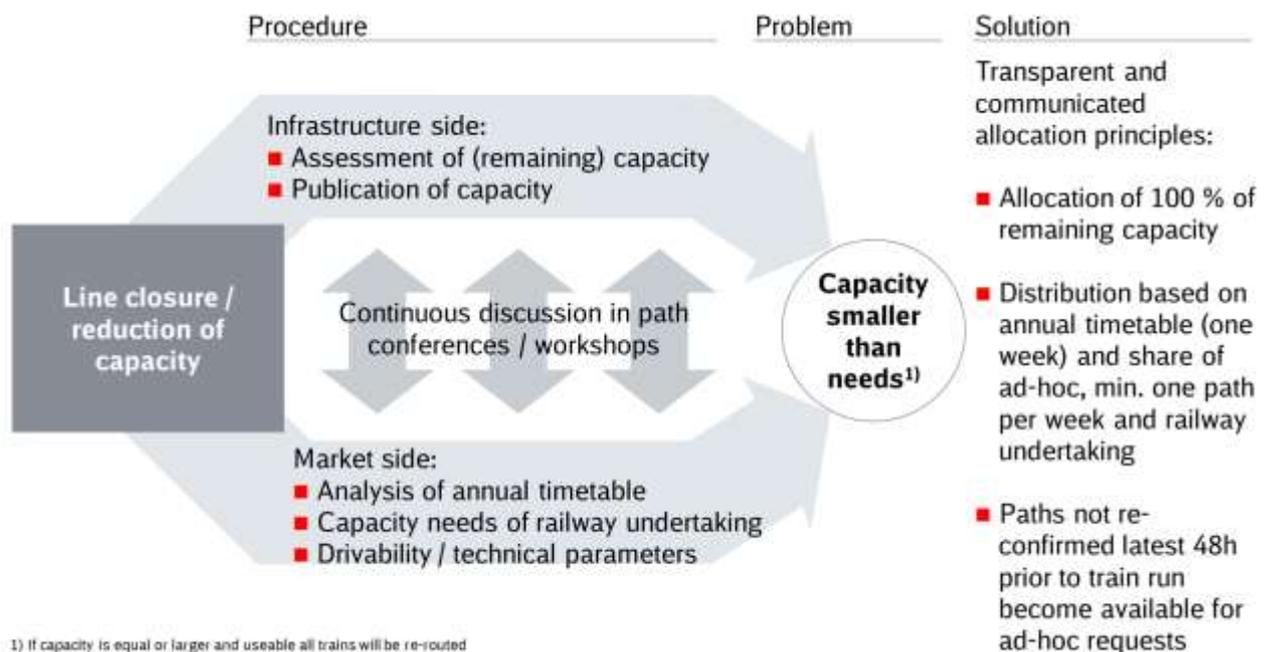


Figure 2 Indicative allocation principles

4 Processes for international disruptions

The following processes shall apply in case of an international disruption as defined in chapter 2. They do not replace existing national incident management procedures but complement them to allow a better international cooperation of infrastructure managers and allocation bodies. The railway undertakings are involved according to national incident management procedures and are in charge of communicating train-specific information to their customers.

The following processes have two main objectives:

- ⌘ To react fast and in a coordinated manner to maintain train operations (-> disruption management process)
- ⌘ To offer general information about the incident and the actions set in place to relevant stakeholders across Europe (-> communication process)

4.1 Disruption management process

1. In order to guarantee safe operations, the infrastructure manager on whose network the incident has occurred (leading infrastructure manager), has to take all operational measures (e.g. disposition rules) as defined by national incident management rules and treat all grounded trains as published in the network statements. The leading infrastructure manager informs all neighboring and other affected infrastructure managers directly and immediately, especially the traffic control centers.
2. After the most crucial safety issues are solved, and future consequences of the incident can be estimated, the infrastructure manager affected by a disruption assesses - based on the internationally agreed criteria (chapter 2) - if an international disruption needs to be declared and if the international contingency management has to be started, as described in this handbook. A RFC can also propose to the leading infrastructure manager to declare an international disruption. The final decision is taken by the leading infrastructure manager.
3. If the assessment indicates the international scope of the disruption, the coordinating RFC is chosen and addressed by the leading infrastructure manager. A first set of information about the disruption is handed over. The coordinating RFC must be contacted as soon as possible but not later than 12 hours after the identification of the international disruption by the leading infrastructure manager.

Other affected RFCs are informed subsequently by the coordinating RFC.

To assure reachability when RFC staff is not available each RFC organises a back-up.

4. The coordinating RFC with the support of the leading infrastructure manager structures the international cooperation on management level by organising consecutive telephone conferences incl. agenda and minutes, as well as by monitoring the agreed follow-up measures.

A first telephone conference on mitigation measures with the heads of incident management of all relevant infrastructure managers and allocation bodies shall be organised by the coordinating RFC

within 12 hours after being informed by the leading infrastructure manager and between 7:00 am and 7:00 pm. The phone-conference will be held in English or in another language, which is accepted by all parties.

During this telephone conference information about the incident is exchanged and the next steps are organised. This includes a joint decision about relevant re-routings and required mitigation measures.

The communication manager of the leading infrastructure manager is advised to participate in the telco of the incident managers (see information on communication process below).

5. Incident managers are responsible to coordinate internationally available capacity and provide a rough indicative timetable within 24 hours after the first telco based on pre-defined re-routing concepts, to organise required mitigation measures on the selected re-routings in their network as soon as possible and to apply the proposed non-discriminatory allocation principles for international disruptions (as described in chapter 3). If several infrastructure managers and allocation bodies are involved in the coordination of internationally available capacity, it has to be agreed in the telco who is in the lead.

The return to normal international operations is organised by the leading infrastructure manager jointly with the affected infrastructure managers and allocation bodies based on the information on backlog of trains.

This process for international disruptions is closed by the leading infrastructure manager.

4.2 Communication process

This process is related to general information for the public on the international disruption (e.g. media information on reasons for the disruption and duration, general information on diversion routes). This communication process is NOT addressing train specific information (e.g. path allocation, location and estimated arrival of a train) intended for railway undertakings or passengers. The main communication with railway undertakings on the disrupted trains is organised directly after the incident by the leading infrastructure manager according to national incident management rules.

1. Shortly after the first telephone conference of the incident managers the RFC organises a telephone conference with the responsible communication managers of the leading and the affected infrastructure managers and allocation bodies, including agenda and minutes.
2. During the telephone conference information is passed on from the corporate communication manager of the leading infrastructure manager to the colleagues at the affected infrastructure managers and allocation bodies. For this, the communication manager of the leading infrastructure manager prepares general information on the incident in English.

3. Each affected infrastructure manager and allocation body is responsible for informing internal and external stakeholders in his country based on the information received from the leading infrastructure manager (example of stakeholder checklist below).
4. The coordinating RFC and other affected RFCs provide the general information on the incident on their website.
5. If updated information is available, e.g. on mitigation measures or forecasts, the telephone conferences are repeated as soon as possible.

The following lists give examples of stakeholders to be included in the information flow if an international disruption is announced. Specific requirements (e.g. communication channel, language) need to be defined by the respective national infrastructure manager and allocation body and kept readily available for international disruptions.

Example of stakeholders:

Stakeholders to be informed by infrastructure managers and allocation bodies in their respective countries for example include:

- Railway undertakings
- Infrastructure managers
- Government / Ministry of Transport / Regulatory body
- Press / Media
- Terminals
- Ports
- Transshipment points
- Transport associations, shippers associations
- Federal politics
- Governments and regional or local bodies competent for transport / Local stakeholders
- Allocation body
- Further external stakeholders
- RFC Management
- Infrastructure managers Holding
- Infrastructure managers PR Department
- Infrastructure managers employees

Stakeholders informed by leading infrastructure manager include:

- European Commission
- ERA

Stakeholders informed by RFCs include:

- RFC Stakeholders (Executive Board, Management Board, RAG, TAG)
- RFC Network
- RNE

If required RFCs can take over other communication tasks, e.g. European Commission or ERA.

5 General agreements, roles

5.1 General agreements

1. The language used for international coordination as described in this document is English. Another language for the telephone conferences is possible, if accepted by all parties. In any case the written information exchanged needs to be at least in English.
2. If one infrastructure manager calls for a major international disruption, the other infrastructure managers and allocation bodies cooperate in order to keep the traffic flowing.
3. Any changes to contacts are communicated without delay to RNE.

5.2 Roles

To organise the international coordination of an international disruption, as described in chapter 4, several key roles on a managerial level are defined. These need to be supported by staff from infrastructure managers and allocation bodies according to national responsibilities, by RFC and RNE:

⌘ Incident manager of infrastructure manager and allocation body

- ⌘ Decision-making power in all aspects of incident management including operations, capacity allocation, temporary capacity restrictions and customer relationship
- ⌘ Fluent in English
- ⌘ Reachability 24/7, direct or via the national traffic control centres

⌘ Communication manager of infrastructure manager

- ⌘ Responsible for external communication related to incidents of the infrastructure manager
- ⌘ Fluent in English

⌘ Coordinator of the RFC

- ⌘ Fluent in English
- ⌘ Reachable 24/7, outside office hours and whenever needed back-up solutions are organised

⌘ RNE

- ⌘ Hosting of this handbook, i.e. coordination of updates and changes
- ⌘ Provision of up-to-date contact list

6 Contacts

All contacts of the incident managers, communication managers and the RFCs are collected in a common document hosted by RNE. It is to be kept up-to-date at all times, changes need to be communicated without delay to RNE by the infrastructure managers.

7 Glossary

Allocating Body

An Allocation Body is an independent organisation responsible for train path allocation to Railway Undertakings and other Applicants; this includes the designation of individual paths and the assessment of their availability. In most cases, the Allocation Body is the same organisation as the Infrastructure Manager. But if the rail operator is not independent from the Infrastructure Manager, then path allocation must be carried out, according to Directive 2012/34/EU, by an independent Allocation Body.

Communication Manager

Responsible Communication Manager at leading infrastructure manager, who is in charge for the national, internal and external communication during a disruption. Person must be fluent in English.

Disruption

When some disorder on the rail network leads to disruption of the rail services provided by IMs to RUs, and consequently to train services provided by RUs to their customers. Term in Handbook is not linked to Eurostat/ITF/UNECE definition: "Extensive disruption to traffic" occurs when train services on at least one main railway line are suspended for more than six hours.

Incident

An unplanned, uncontrolled event disrupting train operations on the network that requires operative treatment of trains.

Incident Manager

Responsible manager in charge of organizing the return to safe operations after an incident at the national infrastructure managers. Person must be fluent in English and reachable 24/7.

Infrastructure Manager

DIRECTIVE 2016/2370/EU: "any body or firm responsible for the operation, maintenance and renewal of railway infrastructure on a network, as well as responsible for participating in its development as determined by the Member State within the framework of its general policy on development and financing of infrastructure."

Re-routing overview and options

The re-routing overview compiles possible re-routing options for the (RFC) main lines. A re-routing option is an alternative route that may be taken in a situation of a disruption to reach the same destination. The used term in this handbook is not linked to DIRECTIVE 2012/34/EU (Recast): "another route between the same origin and destination where there is substitutability between the two routes for the operation of the freight or passenger service concerned by the railway undertaking", because easy substitutability cannot be ensured.

Re-routing scenario

Scenarios for selected line segments prepared by infrastructure managers, in order to react fast and coordinated during the disruption. These scenarios consist of specific traffic management procedures and measures agreed by the responsible infrastructure managers.

RFC Coordinator

Person entrusted with the overall coordination responsibility during affected disruption within the Rail Freight Corridor structure. Helps to identify international problems and solves these together with the Incident Communication Manager.

Mitigation Measures

Measures that allow a continuation of traffic flows during a disruption, e.g. use of diesel shuttles on non-electrified lines.