Control Procedure – Green 04

Service Recovery Plan
(including SR2013 and agreed principles with Network Rail)

Synopsis

This document outlines the actions TPE Control must undertake when carrying out (Train) Service Recovery post incident or for minor perturbation.

Author:

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Approved by:

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Authorised by:

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Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 2 of 33

Green
4

Contents

TRANSPENNINE
EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 3 of 33

Green
4

Issue Record

Issue	Date	Comments
Issue 3 Revision 0	Dec 2017	Timetable Change refresh – No changes to document
Issue 4 Revision 0	May 2018	Complete re-issue with significant revisions, due to May 18 WTT change. All agreed in multiple meetings with Network Rail and other operators. Agreed new principles, ease of reference, more control support with decision making and options for deviation (recorded).
Issue 4 Revision 1	May 2018	Following discussions with Network Rail LNE SIO, reviewing of traincrew diags and pathing allowance risks at MIA end; Principles of SR will now apply to all trains with exceptions only and Controllers will now utilise a forecast approach to ETA's at destination. This was decided as a revised approach due to how complex the timetable and traincrew dags are. Appendix D and E May 18 WTT guidance added.

RACI / Grade applicability matrix for this procedure

Process Applies to	
DCM*	✔
IC*	✔
TSC*	✔
RC	✔
CIC	✔
RDA	✔
M/C*	

*Safety Crtca

Applicable Clauses	DCM	IC	TSC	RC	CIC	RDA	M/C
Part B, Cause 3	R A	R	R A	N/A	N/A	N/A	N/A
Part B, Cause 4	R A	R	R A	I	I	I	C
Append x A	R A	R	R A	I	I	I	C
Append x B	R A	R	R A	I	I	I	C
Append x C	R A	R	R A	I	I	I	C

R = Person or Post is RESPONSIBLE for the carrying out the process

A = Person or Post is ACCOUNTABLE for the overseeing the process and making sure its completed

C = Person or Post is CONSULTED on the process

I = Person or Post is INFORMED and aware of impact from the process

N/A = Person or Post does not need to have any knowledge or awareness of the process

TRANSPENNINE EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 4 of 33

**Green
4**

Implementation	This procedure applies from receipt unless a specific implementation date is stated
Supply	Controlled and uncontrolled copies of this procedure can be obtained from: **TransPennine Express** Floor 8 Bridgewater House 60 Whitworth Street Manchester M1 6LT
Safety and quality control warning	This document forms part of a controlled process within TransPennine Express namely Safety Management System (SMS) This procedure must be applied in conjunction with any competence standards and guidance booklet, along with any other training and resources to apply the processes competently. Use or copy of any of the SMS component parts is strictly prohibited without the express written permission from the Head of Safety in each and every case. This ensures that the integrity and quality of the overall SMS approach is maintained.

TRANSPENNINE
EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Green
4

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 5 of 33

Part B

1   Introduction

1.1   The arrangements by which Network Rail and train operators cooperate to restore normal timetabled working after disruptive events are described in the Service Recovery 2013 (SR2013) Approved Code of Practice (version located in TPE's Operations Manual under Green 04). The application of SR2013 by TPE is described in the Contingency Plan, and should be read in conjunction with the "Service Disruption" provisions in Condition H of the Track Access Agreement.

1.2   This document is applicable from the May 2018 WTT change.

2   Purpose

2.1   SR2013 is an industry-wide protocol which seeks to minimise overall disruption to passengers by providing a more balanced, integrated service during and after disruptive events, and provide a means of returning to normal working, or an agreed degraded timetable, as quickly as practicable. It also describes the managerial arrangements which must be implemented before TPE can claim dispensation for Eligible Cancellations from the DfT, against the limits specified in the Franchise Agreement.

3   Procedures

3.1   When an incident, or disruptive event, occurs and train services are likely to be affected, Network Rail Control will call a telephone conference involving all affected Operators to discuss:

- The nature and scope of the contingent operation

- Estimates for service restoration

- The most expeditious and effective industry Service Recovery response.

3.2   TPE Control will cooperate and collaborate with other train operators to minimise the overall impact of the recovery process on all customers, and to optimise the use of available capacity. Control will have the responsibility for identifying a train service plan which balances the requirement for speed of recovery with the need to properly manage service intervals, extended passenger journey times, overcrowding, the maintenance plan, etc.

3.3   Network Rail's Control personnel will declare a Service Recovery Commencement Time (SRCT) during the telephone conference, phone call or face to face, which should be logged in the control log for all incidents irrespective of initial allocated responsibility. Any short formations, part or total cancellations incurred after this time either during the incident, or as part of the recovery process will be eligible for dispensation by the DfT from the contractual limits in the Franchise Agreement.

This specifically includes TOC on Self cancellations that are eligible under Clause 4.4 of the Approved Code of Practice and which directly affect the outputs which the franchise is measured against under Schedule 7.1 of the performance regime.

3.4   Unless there are pressing reasons or circumstances for an alternative approach, TPE will implement the arrangements specified in the contingency plans as quickly as possible. The Network Rail RCM will be expected to give guidance as to the likely length of time that disruption will last; refining this estimate as time progresses and more information

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 6 of 33

Green 4

from site becomes available. Once a firm estimate is received, TPE Control will establish arrangements to restore the full timetable, on the basis of the infrastructure available from this time.

3.5 Following restoration of normal working, Network Rail will be expected to initiate a post-incident review with all affected operators "to consider outcomes, successes (or otherwise) and learning points …". Whilst this review may be formalised and carried out "off line", it is expected that Duty Control Manager, Incident Controllers and Train Service Controllers will participate in an early assessment of the arrangements. The Duty Control Manager will positively encourage this to take place, and will liaise with the Network Rail RCM to ensure it does. A record should be kept of this review.

3.6 **All this information should be entered in the control log item by either the DCM or Train Service Controller posts. A Service Recovery End Time should also be agreed and entered into the control log. N.B. Please ensure that Network Rail have entered TPE's SRCT into the relevant TRUST incident number; this is needed for TPE's submission to the DfT from the performance department.**

3.7 **Each day an overnight check for incidents which have not been declared Service Recovery in the control log and or in the relevant TRUST incident should be undertaken by the DCM or Train Service Controller, with any inaccuracies discussed with Network Rail and amendments undertaken as required.**

3.8 The DCM or TSC will attend Network Rail SR2013 conferences and discuss train service management and reasons for decisions. Conferences and decision making will be recorded in the Control Log. If there is a non-attendance risk then the DCM/TSC MUST agree any plans with the Network Rail Train Running Controller.

3.9 The DCM will be accountable for agreeing the principles/approach to any incident plan with the NR Duty Incident Officer or NR Route Control Manager. The principles can include a trakn by train operation, but this must be agreed and recorded in NR and TPE Control logs.

4   Managing Service Recovery and Customer Implications

4.1 Please see Appendix A for a full explanation into how TPE should manage its service recovery from May 2018 WTT.

4.2 DCM's and TSC's must consider SSO's and NSO's in every decision they make so as to cover customer arrangements.

4.3 TSC's MUST communicate all agreed plans with the CIC's immediately, to allow the CIC to page out, via Tyrell, the agreed plan.

4.4 When a decision is made the Controller MUST not change that decision unless it is an error and has significant consequences in operational performance or a safety risk. Decisions must be concise, reasonable and allow traincrew time to understand what is required and be able to man any train on the plan.

4.5 The DCM/TSC MUST work closely with the RDA in disruption so collaboration and teamwork is in place to assist traincrew / station staff with smooth planning.

TRANSPENNINE EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 7 of 33

Green 4

5   Reference to related documentation

5.1   The following are related procedures within the operations control manual that work in conjunction with this procedure:

a)   Approved Code of Practice: Contingency Planning for Train Service Recovery – Service Recovery 2013 (this is a separate document on the intranet within the Operations Manual held under Green 04-A)

b)   TPE's Contingency Plans

c)   TPE's Franchise Agreement

d)   TPE's Track Access Agreement

e)   NR Railway Operational Code

f)   OC6.Y41 (Yellow 41) – Train consist of more than 3-cars on Diggle route local stations and Dore station

g)   OC6.Y42GN (Yellow 42GN) – Special Stop Order & Not to Stop Order: General Instructions

h)   OM3.4 – Management of Defective On-Train Equipment

TRANSPENNINE EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Green 4

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 8 of 33

Standard Terms

Throughout this document standard terms have been used. The terms set out below are in alphabetical order for easy reference.

Term	Explanation
DfT	Department for Transport
SR2013	Service Recovery 2013
(L)RCM	(Lead) Route Control Manager
SRCT	Service Recovery Commencement Time
DCM	Duty Control Manager
TSC	Train Service Controller
RDA	Resources Deployment Allocator
SDM	Service Delivery Manager (TPE Head of Control)
(S)IO	(Senior) Incident Officer
NR	Network Rail

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 9 of 33

Green 4

APPENDIX A

TransPennine Express Service Recovery Arrangements (Principles and Guidance)

[May 2018 WTT onwards]

TRANSPENNINE EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 10 of 33

**Green
4**

PLEASE NOTE THIS "APPENDIX A" GUIDANCE IS AGREED WITH NETWORK RAIL AND IS THEREFORE CONSIDERED GOOD PRACTICE AND DULY AUTHORISED.

DEVIATIONS ARE PERMITTED BUT MUST BE AUTHORISED BY THE TRAIN SERVICE CONTROLLER OR DUTY CONTROL MANAGER.

IF A DEVIATION EXISTS THIS MUST BE DISCUSSED WITH NETWORK RAIL TSC / RCM / (S)IO AND RECORDED IN THE TPE CONTROL LOG AND NETWORK RAIL (CCIL) LOG.

WHERE THERE IS MANDATED ATTENDANCE ON CONFERENCE CALLS OR ON-CALL SUPPORT IS REQUIRED, THIS MUST BE DONE WITH NO DEVIATION UNLESS AUTHORISED BY THE SERVICE DELIVERY MANAGER OR 2ND LINE OPS ON CALL.

IN ALL CASES OF CURRENT / REAL TIME OPERATIONS THE DUTY CONTROL MANAGER WILL HAVE THE FINAL SAY ON HOW A SERVICE RECOVERY OPERATION IS MANAGED.

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 11 of 33

Green
4

Introduction

The following service recovery guidelines have been written for all routes and agreed are agreed with Network Rail. During the peak periods between Manchester and Leeds, TPE must strive to maintain its capacity; this can be done by coupling services together, thus reducing the number of train paths and congestion and deliver the seats. This is preferred to outright cancellations within the peak 07:00 to 09:00 and 16:00 to 19:00 periods.

They are subject to the following being considered before implementation, so the plan is therefore delivered on a best endeavours approach:

- The protection of the first and last services on each route;
- The infrastructure status across the route;
- The diagrams of the train crew working the late running service;
- The diagrams of the train crew who may be affected if the service is altered, e.g. PNBs, relief, 'Pass' and 'Assist';
- The impact on to the maintenance plan if the unit comes out of diagram;
- If the unit is on its last working before going on to depot;
- The availability of train crew and units to run additional services;
- An assessment of the customer services issues such as large volumes of customers, e.g. events, where inconvenience to the customers will be very high. The Control via the DCM will receive a reservation report for all services were there are more than 100 booked;
- The service frequency on the route not being served by TPE including the impact that the disruption has had on TPE and other operators.

Within the statements below you will see some cut-off times at key locations.

A decision must be made before the last major station served by the affected train, or a minimum of 30 minutes before the arrival time. The time stated in such scenarios is advisory and you may wish to undertake the action stated for a lower time.

The statements are therefore flexible with the balancing act between maintaining customer satisfaction to the majority and managing the performance impact. Please see *Service Recovery Business Principles* below for further detail.

TRANSPENNINE
EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Green 4

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 12 of 33

Service Recovery Business Principles

It was agreed at a meeting on 06 April 2018 that Northern Rail and TPE will have some principles that will apply in all cases UNLESS there is good reason to deviate from it. Principles 1 & 3 were agreed at that meeting.

These principles are not contractually binding and the SR2013 ACOP, Track Access, Franchise Agreements, Network Ops Code, Railway Ops Code and Delay Attribution Principles and Rules will supercede this guidance.

The Duty Control Manager or Train Service Controller are authorised to override these principles with good reason and each case MUST be recorded in the TPE Control Log and a discussion is to be had with Network Rail TRC/RCM/(S)IO. The Service Delivery Manager will review ALL occasions of deviation internally and with NR (S)IO's and / or (L)RCMs.

<div align="center">

Business Principle 1
(Agreed with Network Rail LNW & LNE)

All trains SHALL arrive destination at or before its booked back working.

</div>

The principle applies to train service / unit rather than traincrew duty / turn.
Examples (not exhaustive) items of overruling the principle:

- Traincrew change that cannot be accommodated
- Traincrew change that would leave a line blocked
- Traincrew going home and risk of Hidden 18 breaches, such as 12+ hrs, cannot catch next turn of duty, etc
- A breach of ASLEF and/or RMT terms and conditions (including any local agreements);
- Any safety risks;
- Any severe customer issues (overcrowding and capacity required)
- No train between stations for over 60 minutes

<div align="center">

Business Principle 2
(Agreed with TPE CX teams)

Customers SHALL be considered in all decision making

</div>

A disproportionate number of customers should not be affected by Service Recovery. Remember Service Recovery is in place to provide services for the majority of customers and return to a normal timetable as quickly as possible.

<div align="center">

Business Principle 3
(Agreed with Network Rail)

Best endeavours SHALL be made for trains should return to a near normal timetable within 3 hours

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See appendix C for more guidance on this business principle.

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 13 of 33

**Green
4**

Recovery from a Major Line Blockage between Manchester and York

All line blockages or severe restrictions Service Recovery arrangements, will be dealt with via Network Rail Conference Call. For all Major Line blockages or severe restrictions that require thinning of services or multiple cancellations (CSL2 RED / BLACK), the DCM MUST contact 2nd Line Operations On Call and discuss what assistance may be needed, whether that is with conference calls, traincrew management or other operational reasons.

The Retail Controller MUST contact 2nd Line CX on call and discuss what the risks are and what assistance is needed, that will parallel the operational support.

For all CSL2 BLACK Recovery situations, the Director On Call MUST be contacted to established and manage the train service overview and principles under a Gold Command approach.

All services are losing <u>over 15 minutes</u> due to a single incident between Manchester and York

Network Rail will call a conference call which the DCM is mandated to attend.

See page 14 if a reduced paths are required to be operated.

All services are losing <u>over 30 minutes</u> due to a single incident between Manchester and York

Network Rail will call a conference call which the DCM is mandated to attend.

See page 14 if a reduced paths are required to be operated.

**TRANSPENNINE
EXPRESS**

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Green
4

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 14 of 33

Infrastructure Capacity Management and thinning of services

Following any NR Conference call that declares a reduction in paths on a section of the "Core Route" between Stalybridge and Miklefield. The following guidance arrangements will apply. The DCM and TSC have sole discretion to deviate from this plan subject to agreement with Network Rail and only for traincrew arrangements purposes. If a deviation is required this MUST be logged in the TPE Control log and Network Rail (CCIL) Control Log.

- Contact On Call Director or CX Director and advise of Network Rail restrictions if running 4tph or less plan.
- Contact 2nd Line CX on Call or Head of CX and advise of Network Rail restrictions if running 4tph or less plan.

6tph: Normal TPE (SX/SO) timetable

- No changes

5tph: 1 train out arrangement

- Lose 9Mxx and 9Exx service (shuttle either side of capacity restrictions where possible)

4tph: 2 trains out arrangement

- Lose 9Mxx /9Exx Liverpool – Newcastle services in both directions. Shuttle either side of capacity restrictions where possible.
- Lose 1Fxx Liverpool – Scarborough services in both directions. Shuttle either side of capacity restrictions where possible.
- Double up operating services with any spare traction

3tph: 3 trains out arrangement

- Lose 9Mxx /9Exx Liverpool – Newcastle services in both directions. Shuttle either side of capacity restrictions where possible.
- Lose 1Fxx Liverpool – Scarborough services in both directions. Shuttle either side of capacity restrictions where possible. Use plat 2 at York for loco hauled if running a Scarborough to York and return shuttle.
- Lose 1Kxx Leeds – Manchester services in both directions. SSO 3 car trains at local stations, as required. Consider skip – stop operation to spread the volumes of customers. Refer to OC6.G42GN
- Double up operating services with any spare traction.
- SSO all 6 car trains to call at Dewsbury and Stalybridge for customers. Refer to OC6.G41 if a 6 car calls at "short platforms".

2tph: 4 trains out arrangement

- Internal conference call with MD, CX Director, Ops Director, Head of CX, Head of Ops Resources, SDM to agree a plan. *Out of hours 2nd line and Director On Calls will be on conf call.*

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 15 of 33

Green
4

Other Operators Ticket Acceptance and Communication

Should any of the alterations below result in ticket acceptance being needed from another operator then this must be arranged by the Retail Controller in advance. This agreement should then be contained within the Customer Advice section of the service alteration message sent out by the Customer Information Controller.

The use of Spare

Spare units shall be utilised as appropriate but cognisance must be made of maintenance plan risks. The Incident Controller will manage this.

Management of Customers at Unstaffed Stations

TPE are allowed to terminate at stations that are unstaffed if:

- It is covered by CCTV;
- It has a help point;
- Small unstaffed remote stations, e.g. Dore, Flixton, etc;
- It is another operator's station. Call operator Control and request to watch the customers on their CCTV and answer help points;
- Possible the Conductor stays with the customers for as long as possible and if it safe and they are willing to do so.

Traincrew diagrams

It I to be noted that some traincrew diagrams don't suit SR2013 particularly well due to the balance of productivity, cost and performance.

TSC's should note non-standard patterns in diags such as:

- Hull services at Piccadilly where Conductors work in an Express from Hull and work out a Local. This contradicts the SR plan and Controllers need to be aware of this via simplifiers or other knowledge forms.
- Victoria has a high number of front and back changes between multiple trains, thus be careful if you divert any trains into Piccadilly for back working paths.

Service Recovery Conferences and recording of decisions

Deviations from plan and service decisions should be recorded in the TPE control log so there is a record of decision making. When it is extremely busy (significant disruption or Control staffing level issues) and the whole control is under pressure then a summary of decision making should be made in the log, even if it does not give a full picture.

TRANSPENNINE EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 16 of 33

**Green
4**

APPENDIX B

TransPennine Express Service Recovery Arrangements (Line of Route)

[May 2018 WTT onwards]

TRANSPENNINE
EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 17 of 33

Green 4

Introduction

Due to the complex nature of the May 2018 WTT (at time of writing), a new simpler form of table and actions is to be used below to aide Controllers, Traincrew and Station staff in quicker decision making and create a more of a quick reference guide.

Traincrew, station staff and Controllers should note the guidance in Appendix A and the authority levels for deviation from these arrangements below. It should be made clear that the Duty Control Manager will have the final say on the day (and that decision will be an accountable one).

Any escalation process will be via the Service Delivery Manager or On Call Managers after the event.

Controller decision making guidance

Where a train shows "*Principle 1*" the Controller must forecast what trains are ahead and allow recovery time (box, circle or diamond) in decision making.

Where a train has guidance such as "*Guidance generally up to 15"/L leaving York*", this is an **aide** to decision making for the Controller, but the Controller must forecast what trains are ahead and allow recovery time (box, circle or diamond) in decision making. Any **known** regulating decisions must be taken into account. It is not a requirement for Controllers to understand S-ARS decisions, but any agreed NR TRC decision making must allow a train to arrive in accordance with *principle 1*.

As a general rule and in line with principle 2 of Appendix A. No consecutive trains to PINE early under minor perturbation. This is to protect back workings for our customers.

Business Principle 1
(Agreed with Network Rail LNW & LNE)

All trains SHALL arrive destination at or before its booked back working.

Business Principle 2
(Agreed with TPE CX teams)

Customers SHALL be considered in all decision making

Business Principle 3
(Agreed with Network Rail)

Best endeavours SHALL be made for trains should return to a near normal timetable within 3 hours

TRANSPENNINE **EXPRESS**

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 18 of 33

Green 4

Key to below Service Recovery table

Principle 1 - All trains SHALL arrive destination at or before its booked back working.

Run through – Run through to destination (agree possession risks with Network Rail RCM).

SSO – Special Stop Order (Authority from DCM or station staff where explicit authority is given by the Service Delivery Manager). **See also OC6.Y41/42GN**

NSO – Special Stop Order (Authority from DCM or station staff where explicit authority is given by the Service Delivery Manager). **See also OC6.Y41/42GN**

" – Minutes (Time)

/L – Lateness

WTT – Working Timetable

PB – Public Time (GBTT)

Recovery – Recovery allowances in schedule (includes box, circle and diamond time)

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 19 of 33

Green 4

Service Recovery – Line of Route

Line of Route Direction	Lateness trigger (delay)	Action	Notes
ALL Trains into Manchester Airport (booked via Victoria and Ordsall Chord)	Principle 1 applies	PINE Piccadilly	Customers on next available to Airport. If too many trains at terminating at Piccadilly 13/14. PINE Victoria.
	If more than Principle 1 for a train turning at Piccadilly	PINE Victoria	Customers on next available to Airport via Ordsall Chord. If no trains via Chord consider Salford Crescent and change OR Metrolink to Piccadilly for next available. If too many trains at Victoria. Consider DIVERT to Piccadilly in contingent paths.
ALL Trains into Manchester Airport (booked via Piccadilly)	Principle 1 applies	PINE Piccadilly	Customers on next available to Airport. **See page 1 guidance.**
	If more than Principle 1 for a train turning at Piccadilly	PINE Piccadilly. Train still terminates Piccadilly and runs in return path late.	Customers on next available to Airport.
	If more than Principle 1 for a train turning at Piccadilly and will be over 15 late departing	Duty Control Manager discretion, based on traincrew diags, customer reqs and performance.	

TRANSPENNINE EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 20 of 33

Green 4

Manchester to Scotland	**Principle 1 applies**	If later than Principle 1 then decision based on customer loadings	CSL2 Red operation for customers if later than Principle 1 (ticket acceptance)
Scotland to Manchester	**Principle 1 applies**	If later than Principle 1 PINE Piccadilly	If *action* required, onto Mayfield or Longsight UDGL. Customers on next available inbound and outbound.
	If more than 9" later than a booked departure at Piccadilly	PINE Preston	Customers on next available inbound and next available to Preston for outbound.
Airport to Middlesbrough	**Principle 1 applies** *Guidance generally up to 15"/L leaving York with a good run.*	Run through	**See page 1 guidance**
	Train does not meet Principle 1 *Guidance generally up to 16"/L to 25"/L leaving York with a good run.*	PINE Thornaby	**See page 1 guidance** Customers on 2Dxx service in rear or wait next train if less than 60". Taxi/Bus over 60" wait.

TRANSPENNINE **EXPRESS**

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Green 4

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 21 of 33

	Train does not meet Principle 1 for PINE at Thornaby *Guidance generally 26"/L or more leaving York with a good run.*	PINE Northallerton. Train to run onto branch ECS and stable on Down or Up Branch at Signallers discretion (allowing GC and other operators to pass). Return ECS for booked working back off Northallerton.	Customers detrain at York for next service. If more than 60" wait then taxi/bus.
Airport to Newcastle (1Pxx only)	**Principle 1 applies** *Guidance generally up to 14"/L leaving York with a good run.*	Run through	See page 1 guidance
	Train does not meet Principle 1 *Guidance generally up to 16"/L to 20"/L leaving York with a good run.*	Express to Newcastle (FTS/Issue NSO's as required)	Train to run Down Fast and Darlington station Fast. **DCM/TSC to advise NR TRC train to run fast line and express. Do not allow ARS to route SL out of York.**
	Train does not meet Principle 1 for express to Newcastle *Guidance generally 21"/L or more leaving York with a good run.*	PINE Darlington OR Durham	PINE location depends on crew change requirements. Traincrew on first available UP to connect at Darlington.

TRANSPENNINE EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 22 of 33

Green 4

Liverpool to Newcastle	**Principle 1 applies** *Guidance generally up to 35"/L leaving York with a good run.*	Run through	**See page 1 guidance**
	Train does not meet Principle 1 *Guidance generally 36"/L or more leaving York with a good run.*	Duty Control Manager discretion, based on traincrew diags, customer reqs and performance.	PINE Durham, Darlington or York.
Newcastle to Liverpool	**Principle 1 applies** *Guidance generally up to 19"/L leaving Victoria with a good run.*	Run through	**See page 1 guidance**

TRANSPENNINE
EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Green 4

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 23 of 33

	Train does not meet Principle 1 *Guidance generally 20"/L or more leaving Victoria with a good run.*	PINE Victoria. Set to run ECS to Eccles and stable for return right time back working path through Eccles. If Eccles not suitable then use Stalybridge middle plat and return to Victoria for booked path (add 7 mins for loco hauled shut down and turn around)	Customers on next available or via Piccadilly and CLC / Chat Moss. **DM/TSC to advise NR TRC to look at Earlestown and Huyton for regulation** – use Huyton 4 section track to regulate as req. for a right time back working **<u>Minimum of 1tph to Liverpool shall run (even if late)</u>** and SSO required at Lea Green or Newton Le Willows for 1Fxx or 9Mxx that runs
Liverpool to Scarborough [LOCO-HAULED]	**Principle 1 applies** *Guidance generally up to 20"/L leaving York with a good run.*	Run through	**See page 1 guidance**
	Train does not meet Principle 1 *Guidance generally 21"/L or more leaving York with a good run.*	PINE Malton or York	Decision dependant on customers and Up service operation at Malton. Principle 1 of back working right time is **key** decision criteria.

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Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 24 of 33

Green 4

Liverpool to Scarborough [Class 185]	**Principle 1 applies** Guidance generally up to 26"/L leaving York with a good run.	Run through	**See page 1 guidance**
	Train does not meet Principle 1 Guidance generally 27"/L or more leaving York with a good run.	PINE Malton or York	Decision dependant on customers and Up service operation at Malton. Principle 1 of back working right time is key decision criteria.

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Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Green 4

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 25 of 33

Scarborough to Liverpool [LOCO-HAULED]	**Principle 1 applies** *Guidance generally up to 19"/L leaving Victoria with a good run.*	Run through	**See page 1 guidance**
	Train does not meet Principle 1 *Guidance generally 20"/L or more leaving Victoria with a good run.*	PINE Victoria. Set to run ECS to Eccles and stable for return right time back working path through Eccles. If Eccles not suitable then use Stalybridge middle plat and return to Victoria for booked path (add 7 mins for loco hauled shut down and turn around)	Customers on next available or via Piccadilly and CLC / Chat Moss. **DM/TSC to advise NR TRC to look at Earlestown and Huyton for regulation** – use Huyton 4 section track to regulate as req. for a right time back working **Minimum of 1tph to Liverpool shall run (even if late)** and SSO required at Lea Green or Newton Le Willows for 1Fxx or 9Mxx that runs
Scarborough to Liverpool [CLASS 185]	**Principle 1 applies** *Guidance generally up to 19"/L leaving Victoria with a good run.*	Run through	**See page 1 guidance**

TRANSPENNINE
EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Green
4

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 26 of 33

	Train does not meet Principle 1 *Guidance generally 20"/L or more leaving Victoria with a good run.*	PINE Victoria. Unit to reversing sdg on top of Class 319 or use bays (shunt or arrive in bay)	Customers on next available or via Piccadilly and CLC / Chat Moss. **DM/TSC to advise NR TRC to look at Earlestown and Huyton for regulation** – use Huyton 4 section track to regulate as req. for a right time back working **Minimum of 1tph to Liverpool shall run (even if late)** and SSO required at Lea Green or Newton Le Willows for 1Fxx or 9Mxx that runs
Hull to Manchester Piccadilly (1Kxx part local)	**Principle 1 applies** *Guidance generally up to 10"/L leaving Huddersfield with a good run.*	Run through	**See page 1 guidance**
	Train does not meet Principle 1 *Guidance generally 11"/L to 35"/L leaving Huddersfield with a good run.*	PINE Stalybridge *Note instructions in OC6.41 (Yellow 41) for degraded working of 6 cars*	Customers for Manchester to detrain at Huddersfield and onto service in rear. Customers for local stations stay on service and train calls at local stations.

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Green 4

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 27 of 33

	Train does not meet Principle 1 for a train arriving at Stalybridge *Guidance generally 36"/L or more <u>arriving</u> Huddersfield with a good run.*	PINE Huddersfield	Customers for Manchester to detrain at Huddersfield and onto service in rear. SSO a train for Marsden, Slaithwaite and Mossley if there isnot train for an hour. Bear in mind risks with busy trains and SSO's – *See SSO principles in OC6.Y42GN*
Leeds to Piccadilly (1Kxx Locals)	**Principle 1 applies** *Guidance generally up to 10"/L <u>leaving</u> Huddersfield with a good run.*	Run through	**See page 1 guidance**
	Train does not meet Principle 1 *Guidance generally 11"/L to 35"/L <u>leaving</u> Huddersfield with a good run.*	PINE Stalybridge *Note instructions in OC6.41 (Yellow 41) for degraded working of 6 cars*	Customers for Manchester to detrain at Huddersfield and onto service in rear. Customers for local stations stay on service and train calls at local stations.

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 28 of 33

Green 4

	Train does not meet Principle 1 for a train arriving at Stalybridge *Guidance generally 36"/L or more <u>arriving</u> Huddersfield with a good run.*	PINE Huddersfield	Customers for Manchester to detrain at Huddersfield and onto service in rear. SSO a train for Marsden, Slaithwaite and Mossley if there isnot train for an hour. Bear in mind risks with busy trains and SSO's – *See SSO principles in OC6.Y42GN*
Manchester to Leeds (1Kxx Locals)	**Principle 1 applies**	Run through	
	Requiring a 10"/L or more departure from Leeds	Duty Control Manager discretion, based on traincrew diags, customer reqs and performance.	Weigh up SSO's (OC6.Y41/Y42GB) and overcrowing / safety risks. Do not add more than 3 stops (SSO) to the 1Kxx Hiull to Piccadilly as that will increase lateness to threshold of a Stalybridge PINE.
Airport to Cleethorpes	**Principle 1 applies**	Run through	
	Requiring over and above a 10"/L start	Duty Control Manager discretion, based on traincrew diags, customer reqs and performance.	Decision based on customer requirements, loadings and meeting Up path at Sheffield ahead of the Northern Local.

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 29 of 33

**Green
4**

Last trains of the day

All last trains of the day MUST run through and connections from other operators late services must be considered (with PPM) up to a mx hold of 10 minutes.

TSC to note DAPR requirements with Y* code to late train of other TOC.

Units in diags requiring exams of Bx or above or any safety critical defect management

Units shall run through as a priority unless a swap out is reasonably practicable and causes less PPM/CaSL risk and customer inconvenience.

**TRANSPENNINE
EXPRESS**

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 30 of 33

Green 4

APPENDIX C

Joint Railway Operating Principles:
Service Recovery 2013 Guidance Note

Issue 3 - Applicable from May 2018 WTT until further notice

Preface

The following guidance is to allow a "goal" to be defined in recovering the railway back to near WTT paths following a significant stop of the line and primarily covers getting the core route from York to Stalybridge back to normal passenger operation.

Review and authorisation

The process will be **owned and reviewed regularly between the LNE Senior Incident Officer and the TPE Service Delivery Manager** with all guidance based on good practice and experiential learning from incidents (good and bad). A formal review will take place at least quarterly, with a full re-issue taking place at each timetable change to take cognisance of fleet, traincrew and infrastructure changes.

Contractual relevance

There is no contractual relevance with this document, as this is a good practice guidance document which all parties should aim towards on an alliance railway.

Authorisation

███████████████████, TPE

06/04/18

███████████████████, LNE

06/04/18

TRANSPENNINE EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 31 of 33

Green 4

Controller Good Practice Guidance Note

Following a period of service disruption where any line of route is blocked for 60 minutes or more, the control will make every effort to restore right time running as soon as reasonably practical, with the aim of MOST trains being right time on core route within 2 hours (it is allowable for up to 2 trains to run out of path due to the ORIGINAL reason for incident, as long as the TPE Duty Control Manager and Network Rail Incident Officer agree between them.

The TPE Duty Control Manager or TPE Train Service Controller will attend Service Recovery conferences to agree service recovery options. For any incident that blocks a route for 60 minutes or more, Network Rail control will Chair a service recovery conference with TPE no more than 60 minutes after normal working has resumed. These calls will continue at least hourly until the train service is recovered or NR and TPE representatives are in agreement a robust plan is in place to fully complete the service recovery.

Once two hours after normal working has passed (normal working being the time that trains are not suffering direct delay as a result of the incident), TPE services will not operate out of path through the "core" of their route; IE. Between Stalybridge, Leeds and York in either direction unless agreed between the TPE Duty Control Manager and the Incident Officer in charge of the incident (which may be down to traincrew risks or passenger numbers).

Services that may suffer a late start from origin as a result of late inward working should be dealt with in one of the following ways;
- The outward service is terminated short to provide a right time start on the return working;
- The service suffering the late start in the Westbound direction terminates at York and if so

1. The service is restarted from York right time if possible.
2. The service terminates and forms its return working.
3. Where possible, the service terminates and attaches to another service to transfer the unit across the Pennines (and also provide the capacity).

Services that may suffer a late start or delay en-route due to waiting displaced traincrew:

The service should not be operated between Stalybridge and York if the train is delayed such that it will then be running out of path.

Longer than 3 hours escalation process

Out of Office hours – On Call

Any SR2013 for longer than 3 hours will be raised to TPE 2nd Line On Call Operations and discussion will take place between the TPE On Call and NR Duty Incident Officer.

TRANSPENNINE EXPRESS

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 32 of 33

**Green
4**

Office Hours or dealing with incident (even if not on call)

During office hours any SR2013 lasting longer than 3 hours will be discussed between the TPE Service Delivery Manager and NR Duty Incident Officer / Senior Incident Officer.

Service Recovery Plan (including SR2013 & agreed principles with Network Rail)

Procedure: OC6.G04
Issue 1 Revision 1
Date issued: May 2018
Reviewed: May 2018
Next review: Dec 2018
Page 33 of 33

**Green 4**

APPENDIX D1

MANCHESTER AIRPORT MAY 18 WTT TURNAROUNDS (SAMPLE)

Standard Hour X MIA		TPE	Northern	TPE	ATW	Northern	TPE	Northern	Northern	TPE	TPE	Northern
From		Scotland	Liverpool	NCL	Wales	BPN	Cleet	L'pool	Preston	Boro	Scots	Crewe
Head Code		1MXX	2AXX	1PXX	1HXX	1UXX	1BXX	1HXX	1UXX	1PXX	1MXX	
Manchester Piccadilly		XX29	XX31	XX51	XX55	XX01	XX07	XX13	XX17			
Mauldeth Road			XX40					XX19				
Burnage			XX42			XX08						
East Didsbury			XX45		XX04				XX24			
Gatley			XX47			XX12						
Heald Green			XX50			XX15			XX29			
MIA		XX45	XX57	XX09	XX15	XX20	XX24	XX28	XX33	XX36	XX45	XX53
Platform		1A	3A	3A	1A	2A	3A	3B	2A	4A	1A	2B (?)
Allowances MAN - MIA		3 m	3 1/2 m	5 m	5 m	0 m	3 m	0 m	0 m	2 m	3 m	N /A
		Northern	TPE	TPE	Northern	ATW	Northern	TPE	Northern	TPE	Northern	TPE
Turnround / Dwell*		4 m	22 m	10 m	9 m	20 m	7 m	11 m	22 m	29 m	6 m*	22 m
Head Code		2AXX	1SXX	1PXX	1NXX	1DXX	1NXX	1PXX	1FXX	1BXX	2FXX	1SXX
Platform		3A	1A	3A	2A	1A	2A	4A	3B	3A	2B (?)	1A
MIA	Dep	XX01	XX10	XX19	XX29	XX35	XX40	XX47	XX50	XX53	XX59	XX10
Heald Green	Dep				XX23		XX44				XX03	
Gatley	Dep						XX47				XX06	
East Didsbury	Dep				XX37	XX41					XX08	
Burnage	Dep						XX51				XX11	
Mauldeth Road	Dep								XX59		XX13	
Manchester Piccadilly	Arr		XX24	xx33	XX45	XX49	XX59	XX03	XX07	XX11	XX20	XX24
TPE Pathing MIA - Picc			2 m	1 1/2 m				3 1/2 m		4 1/2 m		2 m
Destination		Crewe	Scotland	NCL	BPN	Wales	Preston	Boro	L'pool	Cleet	L'pool	Scots

Appendix D1 shows a sample hour recovery and turnround times for decision making guidance with turning of trains.

APPENDIX D2

MANCHESTER AIRPORT PLAT OCCUPATION GRAPH – 1 HOUR (SAMPLE)
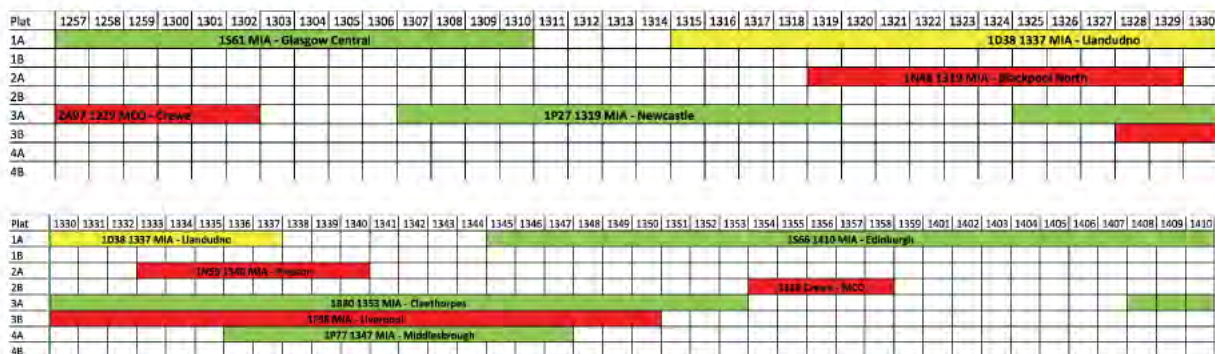
Appendix D2 shows Plat 4B as not planned to be occupied between 1300-1400 SX and Plat 2B only occupied for 7 mins of every hour. Condition such as these from TRUST or CCF should be reviewed by Controllers when decisions are made with regards turning services.

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